

Andrew Carnegie

Carnegie
Corporation
of New York

Annual
Report
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Carnegie Corporation of New York is a philanthropic foundation created by Andrew Carnegie in 1911 to promote the advancement and diffusion of knowledge and understanding among the people of the United States. Its charter was later amended to permit the use of funds for the same purposes in certain countries that are or were members of the British overseas Commonwealth. The Corporation's basic endowment was \$135 million; the market value of its assets was approximately \$1.5 billion as of September 30, 1997.

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Report
of the
President

O

n June 9, 1997, I joined Carnegie Corporation of New York as its twelfth president. Besides the founder and first president Andrew Carnegie, I am the only naturalized American to head this great organization¹ and the first chief executive since 1923 to

be appointed from outside. I was born of Armenian parents in Tabriz, in northern Iran near the Soviet border. I received my elementary education in Iran and my secondary education in Lebanon, arriving in this country in 1956 to pursue undergraduate studies at Stanford University, where I obtained my B.A. and Ph.D. With the exception of eight years as president of the New York Public Library, I have spent my entire career in academia, as a historian on the faculty of various universities and as an administrator, most recently as president of Brown University. I have lived in many cultural spheres and have had to learn as many as seven languages, some well, some adequately, some hardly at all.

In more ways than one, therefore, I bring to Carnegie Corporation the perspective of an insider-outsider. I love my adopted country with the passionate intensity of the convert, yet I can see its flaws with a certain clarity and objectivity while viewing its potential with great optimism. Like many others before me, I have immersed myself in American history, literature,

and folkways, yet I carry the indelible memories of an early youth in other countries, among other peoples, cultures, and religions. Finally, I can savor the full liberating spirit of democracy, yet I can be acutely sensitive to its contradictions in practice.

To me, the American dream is real. Usually, when we talk about the American dream, we do not specify what it is all about. For millions, it represents freedom

and opportunity. For me, it is also about dignity and justice, and about creative coexistence between the individual and the community. The latter idea was articulated in 1835 by Alexis de Tocqueville, who coined the term "individualism" to describe the American character. But his concept of individualism is different from what it has come to mean today. To Tocqueville, individualism as expressed in the American character had a social component — a sense of community going beyond the

self. That is the significance to me of "e pluribus unum" — to be part of one nation where diversity can survive, where individual identity and universal identity are conjoined. America is strong, in my opinion, because it has drawn from many legacies and many sources of inspiration in forming its own unique civilization.

Having emigrated to this country when he was

Some Preliminary Thoughts

twelve years old, Andrew Carnegie was mindful of what America had given him. In his most famous article, *The Gospel of Wealth*,² in which he made the crucial distinction between philanthropy and charity, he wrote that the best means of benefiting the community is “to place within its reach the ladders upon which the aspiring can rise.” But Carnegie also believed — and this aspect of his thinking is less well known — that if society is to advance, having the means to improve one’s circumstances is not enough: “Every man must be allowed to sit under his own vine and fig tree, *with none to make afraid*” [italics mine].

Freedom from fear, in other words, is the *a priori* condition for improving one’s circumstances; it comes before the means. That, to me, is the essence of Andrew Carnegie’s “Gospel,” to which he added, with slight tongue in cheek, that “it is no argument against it that it is not lived up to; indeed it is an argument in its favor, for a Gospel must be higher than the prevailing standards.”

In another way, I bring a different perspective to Carnegie Corporation’s mission. Having been embroiled for so many years in the arduous though rewarding business of raising money for one’s own institution, it is quite sobering to find oneself in the position of giving it away responsibly and creatively to *other* institutions. Actually, it is not so large a leap, for I have served four years as a pro bono advisor to the Annenberg Challenge grants program for school reform, inaugurated with \$500 million from the great philanthropist Ambassador Walter H. Annenberg; I have served on the board of the Aaron Diamond Foundation, on the boards of many nonprofit organizations, and on foundation study groups and projects. My work at Carnegie Corporation is on a continuum with my previous career, and my scholarly endeavors match the foundation’s, “the advancement and diffusion of knowledge and understanding.”

Withal, there is much to discover about this world of organized philanthropy and about the

Corporation’s place in it. I approach the task with all the humility of one preceded by such philanthropic giants as Frederick Paul Keppel, president from 1923 to 1941, who had a lasting influence on the Corporation’s policies and on the foundation field generally; and most recently John W. Gardner and Alan Pifer, who, together with my distinguished immediate predecessor David A. Hamburg, presided over forty-two years of the foundation’s history — nearly half of its existence. Each of these presidents in unique ways contributed profoundly to our understanding of the proper stewardship of tax-exempt wealth. Through their prolific writings, they sharpened our thinking as to the legitimate purposes of foundations and their relationships with government and the public. I cannot hope to emulate their record of achievement, but I fervently subscribe to their common article of faith — that foundations must remain free to support scholarly inquiry and the pursuit of knowledge and truth wherever they may lead, however controversial the result.

I also believe, like former trustee Russell Leffingwell, that “foundations should have glass pockets.” Freedom from political pressure is as necessary for the viability of private foundations as it is for institutions of higher education, but so is transparency. Only then does the significance of the term “a public trust” come clear. Foundations should stand for the best ideas and impulses of the American people, their idealism, altruism, and generosity. Because of this, their values, and how they conduct themselves, must be “higher than the prevailing standards.” We are accountable not only before the law and the court of public opinion, but before history as well.

Being a “supplicant” for so many years has perhaps made me all the more appreciative of the hopes and expectations of the grantseeking community. Now that I have become a “benefactor,” I assume the obligations of general purpose philanthropy with special gravity, knowing full well the dramatic difference that a grant — even informed advice, a reference, or other personal attention — can make in the effectiveness of a project, the life of an institution, or the destiny of an individual.

PROGRAM REVIEW

Other than these unshakable convictions about the special role of foundations, I have come to the Corporation with no preconceived ideas — certainly not about the specific purposes toward which our funds should be spent; my mind has been open to the wise, expert guidance of others, including most importantly the Corporation's experienced program staff and trustees. What I have done is to ask provocative questions, with the intent to challenge and evoke a thoughtful response, and to set in train a process that will help me understand this institution, before forwarding any recommendations to the board about future directions.

Some of the questions I have posed to my colleagues and the trustees are: What are we doing? Why are we doing it? How well are we doing it, especially in relation to the work of other foundations? How does it serve Carnegie Corporation's overall mission to advance and diffuse knowledge and understanding? Does the Corporation perceive itself as an incubator of ideas or as a sustainer of institutions that play that role? How do we combat the age-old problem of scatteration in our grantmaking, while retaining the flexibility to respond to a tantalizing idea or a target of opportunity? How do we evaluate our programs? Is there merit in recognizing the "illuminating failure" as well as the obvious success, in order to learn lessons from experience? Would we achieve our objectives more efficiently if we made fewer grants and larger commitments or many more little ones? If we know what our entry strategy is, what will be our exit strategy? How can we intelligently and imaginatively harness technological progress in order to achieve our goals? How effectively, in the electronic age, is the Corporation reaching its various audiences and constituencies?

Finally, what are some important new issues facing our nation and the world that we should deal with? Where is our comparative leadership advantage? Should we "go it alone" as we often have in the past or increasingly seek partners? How do we achieve the right balance between continuity and change? This

last question is crucial, because I do not believe we should engage in change for change's sake: as we consider new initiatives, we may well reaffirm the importance of some of the paths already taken, only adjusting the emphasis somewhat.

With the assent of the board, we have begun to grapple with these issues. A fundamental concern is to forge a cohesive grant program that will do justice to the foundation's historic purposes. This will require, among other measures, finding the right relationship between programmatic and administrative expenditures in a time of increased demand for the services of nonprofit organizations; achieving more integration, information sharing, and synergy among our somewhat disparate program areas; and clarifying our policies and the foundation's expectations of both program staff and grantees.

The Corporation spends about \$60 million each year for grants and appropriations in the following main areas: the education and healthy development of children and youth; the strengthening of human resources in developing countries, mainly in the English-speaking countries of sub-Saharan Africa³; and international peace and security, centered on relations between the United States and the former Soviet Union. Grants falling outside these areas, such as campaign finance reform and the health of the nonprofit field, are made under a fourth category called special projects. Themes cutting across our domestic and international programs are the strengthening of democratic institutions and the improvement of intergroup relations. These program priorities, developed over the fourteen years of David Hamburg's leadership, are currently being reexamined in the light of profound changes in the nation and world: a technological and communications revolution as dramatic in its effects as the industrial revolution of the last century; mounting environmental, resource, and demographic pressures, such as the challenges posed by aging societies in the advanced industrialized nations and a preponderance of young people in emerging nations; widening dis-

parities of income and opportunity between and within countries; economic globalization and interdependence; and threats to peaceful intergroup relations in the denial of people's basic needs, hopes, and yearnings for justice under the rule of law.

Seventeen years ago, following a study of the structure and functions of the board by a committee of Corporation trustees, the board adopted a resolution that has guided its decision making ever since. A primary responsibility of the board, the resolution states, is to focus its attention on the effectiveness of the Corporation's program as a whole, from a policy standpoint. While retaining final grantmaking authority, the board should play a greater role in setting, reviewing, and revising the broad objectives of the Corporation, rather than scrutinize individual proposals for grants. Moreover, the board should consider from time to time whether new areas should be entered and work in old areas discontinued; should stimulate responsiveness to significant new trends and foster a critical spirit in relation to activities that should be modified or dropped; and should be concerned with the evaluation of results achieved by grants compared with their general objectives. The board, furthermore, should advise and support the president and staff in those areas in which the more detached point of view and more diverse experience of trustees can add to the in-depth analysis and specialized expertise of the staff.

It is exactly in this spirit that the Corporation has undertaken its program review. Beginning at the staff level in October 1997, we held a series of informal meetings to assess the nature, scope, and impact of the Corporation's programs. During this phase, discussions were held on current operations and possible new directions with each of our board members, various foundation heads, and some of the nation's leaders of higher education and nonprofit organizations. The views of several foreign policy analysts, political scientists and historians, heads of business and multinational organizations, and foreign leaders were also consulted.

To explore these matters further and to stimulate ideas for new opportunities, we organized five seminars

with outside experts in their fields, including those who have never had contact with Carnegie Corporation as well as some of our most outstanding grantees. Four of the meetings addressed future challenges in a number of subject areas where the foundation has been particularly active: sub-Saharan Africa, the former Soviet Union, U.S. education reform, and campaign finance reform. The fifth brought together a group of new grantees conducting research on intergroup relations among American schoolchildren, with invitees from abroad and from President Clinton's race relations initiative. Reports of all these meetings were presented to the board in January 1998. Before and since then, we have convened several smaller meetings with scholars and other specialists on a range of issues of possible future interest — such as higher education, telecommunications policy, the state of Islamic studies, and foundation strategies and impact. During this time McKinsey & Company, Inc., has accepted my invitation, on a pro bono basis, to take a look at our internal policies and practices and consider how best they can serve our program purposes.

In late winter and spring of 1998, the Corporation's staff is considering whether and how to implement some of the suggestions and recommendations flowing from the meetings, determining which parts of our existing programs should have lower priority or be ended, seeking external evaluation of those aspects that may be continued, exploring themes and issues that cut across all programs, and assessing areas of potential collaboration with other funders. By late spring, we should have a fully developed set of options ready for presentation to the board. Following trustee and staff discussion and agreement, the new guidelines will be published in June.

COMMENTARY

Although the transition from one era to another has only just begun, I would like to share some of my impressions about Carnegie Corporation's history and about our program and administrative review process. What is most striking to me is the extraordinary ways that the

Corporation's influence has been felt throughout this century. As the historian Ellen Condliffe Lagemann observed in her seminal book on the Corporation's role in knowledge creation and the development of the social sciences, Carnegie Corporation "has had a large and incalculable effect on the lives of many people in the United States and throughout the world."⁴ There are richer and bigger foundations in our nation, but the Corporation has always distinguished itself by its ability to break new ground — often by following a course of action that has had strong catalytic effects.

There is a favorite expression of a previous vice president, Lloyd N. Morrisett, about the potential impact of foundations — that in pursuance of the public good they may not create the wave, but they can influence the direction of the wave. And Carnegie Corporation has influenced many developments in the nation and abroad. It helped found the Teachers Insurance and Annuity Association (TIAA), which its sister organization The Carnegie Foundation for the Advancement of Teaching (CFAT) organized in 1918 to protect academic mobility and encourage savings by the nation's college professors. Today TIAA is the largest private insurance company in the United States. In the ensuing decades of institution building, the Corporation fostered the growth of scientific and economic expertise, providing initial funding for the National Research Council of the National Academy of Sciences, the National Bureau of Economic Research, and the Brookings Institution. Just as critical, it supported the concept of universal education, including adult education, in the belief that efforts to nurture specialists without correlated efforts to promote an informed citizenry will erode the basis for democracy.

In 1938 the Corporation commissioned the Swedish social scientist Gunnar Myrdal to make a comprehensive study of the American Negro, which still stands as a benchmark for assessing progress toward racial equality and the fulfillment of the American Creed and which helped discredit the false promise of a separate but equal education for black and white children. The foundation established the Carnegie Commission on Educational Television in 1965, leading directly to

passage of the Public Broadcasting Act of 1967 and a new system of publicly supported radio and television. It founded in 1969 the National Assessment of Educational Progress, which has never been more useful than today, with the new national push for higher standard setting in precollege education and valid ways of assessing student progress toward meeting those standards. The Corporation also brought into being the Children's Television Workshop and a succession of high-quality educational television programs for children beginning with *Sesame Street* in the late 1960s.

During the 1970s, the Carnegie Commission on Higher Education (sponsored by CFAT but largely supported by the Corporation) influenced the creation of such federal programs as the Basic Education Opportunity Grants and the Fund for the Improvement of Post-Secondary Education. Second to the Ford Foundation — and often in partnership with it — the Corporation supported use of the legal system to promote equality of educational opportunity for disadvantaged children, a still-proud if controversial undertaking. In the 1980s and early 1990s, various Carnegie task forces and commissions synthesizing the best available research on the education and development of children and youth helped to spearhead reforms in early education and child care and accelerated efforts to revamp middle school education for young adolescents.

In the early decades, it was possible for the Corporation's programs to have enormous impact, since there were few other major actors in the foundation's fields of interest, and the federal government was a much smaller enterprise than it has come to be. It is worth noting that in 1915 the size of the Corporation's endowment exceeded all of higher education spending. Beginning in the 1950s, the Corporation's portfolio diminished in light of the enormous expansion of the federal budget and relative to the size of larger foundations coming on stream. This comparative leveling of the foundation's resources was

a factor in the board's decision to approach grantmaking more strategically to achieve greater leverage and multiplier effects with the funds at hand.

The Corporation was fortunate in finding, between 1955 and 1981, three committed strategists of public influence: John Gardner, Alan Pifer, and David Hamburg. Each in turn recognized the need to enhance program impact by concentrating in a few areas where the foundation stood to make a difference, of staying with these over time to build a body of accomplishment, and of seeking partners and grantee organizations willing to try new ideas and innovations.

Under Gardner, the Corporation anticipated the postwar flood of students into American schools, colleges, and universities and charted a course to help the cause of general excellence in American education. At the precollege level, he advocated removal of the barriers to educational opportunity and investigated ways to nurture the special talents of all children. Through the studies of such eminent scholars as James B. Conant, Gardner mobilized efforts to reinforce the public school's obligation to provide a good general education for all future citizens in a democracy. Gardner also foresaw the necessity of fostering a keener scholarly understanding of international problems by supporting area studies programs, and sought to bring the knowledge from research directly to decision makers in Washington and other capitals, to business and civic leaders, and to members of the public at large.

By 1965, when Alan Pifer, Gardner's successor as vice president and president, took the helm, the foundation was confronted with an array of painfully divisive events at home that threatened to break the social compact on which our democracy was founded. Pifer promoted the cause of social justice and equality of opportunity through the foundation's support of educational research, training, and advocacy on behalf of African Americans, Latinos, Native Americans, and women; university reform and the design of off-campus and external college degree programs for adult learners; a program to strengthen the states by means

of state constitutional and legislative reforms; and in South Africa efforts to develop public interest law and the formation of a study group on black poverty and other legacies of the apartheid system.

All told, in this era of "strategic philanthropy," the advancement and diffusion of knowledge and understanding took on new instrumental significance. There was more readiness to experiment with practical approaches to change, to acknowledge that research results could not be left to compete unsupported in the marketplace of ideas, and to link research to policy analysis and action.

Under the leadership of Gardner and to some extent Pifer, there was, as Lagemann pointed out, a "justified tendency to assume that ideas and innovations generated with Carnegie funds could and would be passed on to governmental authority." The Public Broadcasting Act of 1967 followed the recommendations of the Killian report on educational television; the National Assessment of Educational Progress was absorbed by the U.S. Department of Education; *Sesame Street*, following its establishment by the Corporation, was generously financed by the federal government. But the rising conservatism of the late 1970s and 1980s, together with mounting public concern about budget deficits and social expenditures, forced the Corporation to rethink the nature of the private-public partnership that had pertained over two decades.

After David Hamburg, a physician, research scientist, and public policy thinker, became president in 1982, the Corporation emphasized the role of the scientific and technical community in advancing knowledge and understanding of human conflict and in bridging theory and practice. From his background in public health, he brought a preventive orientation to serious problems, providing the framework for the Corporation's revived international programs and undertaking new initiatives on precollege reform and child and adolescent development. In the international arena, Hamburg dedicated the foundation to the avoidance of nuclear war and long-run improvement in U.S.-Russian relations, chiefly by bringing together the scientific and policy communities and offering mid-

career training opportunities for a new generation of arms control and foreign policy experts. Domestically, the foundation refocused on the states as the laboratories of democracy; at the same time it encouraged the “science-rich” sectors of the society — businesses, the laboratories, universities, and professional societies — to collaborate with schools in providing an environment more conducive to children’s learning, centering on the “gateway” courses of science and mathematics. The Carnegie task force reports, chiefly led by Hamburg, all urged a deeper commitment among key institutions in children’s lives, beginning with the family but including schools, community-based organizations, health care institutions, and the media, in making sure that all children and youth grow into healthy, constructive, problem-solving adults.

Today, the context for philanthropy may be shifting again. Constraints on federal governmental initiatives in social policy and in scientific and technological research and innovation have perforce placed heavier emphasis on the role of the nonprofit sector and conventional charity. With the rapid expansion of the foundation field, philanthropy is under mounting pressure to assure continued educational, cultural, social, and scientific progress in the nation. According to the Council on Foundations, families now manage an estimated two-thirds of the country’s more than 40,000 private foundations. More than 1,000 new family foundations are being formed each year. As much as \$10 trillion in intergenerational transfers of wealth is expected to materialize as members of the baby boom generation come into their inheritances.

No other country in the world or world history has had such an aggregation of private wealth devoted to public purposes as the United States. No other nation has been as encouraging to donors in the creation of philanthropic institutions. And in no other nation have foundations played such a significant role in the nation’s life, affecting education, science, medicine, the arts, and charitable agencies everywhere. They are instruments of innovation and sustenance to countless nonprofit institutions shouldering responsibilities

that in most other nations have been ceded to government.

The release of new philanthropic resources and energies at a time of extraordinary demand is welcome indeed. In the aggregate, foundations could significantly advance research, ideas, knowledge, and innovation in the next century. But the combined assets from this field can never remotely compensate for the accrued losses in public and corporate spending for these purposes. Foundation funds must therefore be used wisely and with the utmost integrity toward public enlightenment and the common good — now more than ever to strengthen our social fabric and our democracy. Without a doubt, our future will rely on the optimum use of all the nation’s intellectual and creative capabilities, not just of the traditional elites but of the ambitious young men and women who have hitherto been denied an equal chance to demonstrate their talents. But it will also depend on achieving for our nation that creative coexistence between the individual and the community embodied so well in Tocqueville’s words.

HIGHLIGHTS OF STAFF SEMINARS

In all of our meetings with the staff and with outside experts to explore our programs in children and youth, sub-Saharan Africa, U.S. relations with the former Soviet Union, and the state of democracy in the United States, certain issues were brought to light that deeply concern me. Without prejudging the foundation’s program directions, I would like to give voice to a few of these concerns.

► I am concerned about Americans’ declining enthusiasm and support for our public institutions, be they public libraries, systems of public transportation, public parks, or public education, and about the pernicious notion that excellence can be achieved only in the private sector. I am a firm believer that in a democracy equality and excellence are compatible. In

a nation of immigrants, the public schools and the public libraries have always served as the “ladders of aspiration” — of acculturation, of citizenship, and of equality of opportunity. Public education is unquestionably the most potent equalizing force in the nation and in many communities is a beacon of excellence. To strengthen and transform our common bonds, we must strengthen our public schools, not abandon them. Nevertheless, we must ask, why has the school reform movement not achieved greater gains for students? Don’t we have the knowledge and successful models as well as the sophisticated analyses to show what works? Is the problem lack of political will? Why is there not more effective linkage between good-quality educational research and teaching practices? We seem to have many great schools but few great school systems. What will allow us to “go to scale”? Few minority-group members are going into the teaching profession at a time when children of historically underrepresented groups and new minority members are becoming a collective majority in many urban school districts. What can be done to recruit more talented men and women of these backgrounds into the schools of education?

► Of deep concern to me is the condition of racial and ethnic relations in this country, especially as they affect our children. We talk about tolerance, but tolerance is not enough: we must go beyond tolerance toward understanding and acceptance — acceptance of each person’s humanity and individuality and ability to contribute toward the larger whole. Understanding and acceptance, in turn, require knowledge, and knowledge requires knowing not only other people’s history and culture but our own heritage and what makes us a nation. We have become a parochial society in many ways, suffering from self-inflicted amnesia. We know little about world geography and even less about world history. There are only a handful of universities in the nation that teach anything about Canada. I am not sure that multiculturalism, as it is actually taught in many schools and colleges, is the answer. If we

study the contributions of African Americans in isolation, we are still ghettoizing them unless we show how their experience has contributed to American civilization and to world civilization. When taught badly, there is a risk that multicultural education will lead to chauvinism and reinforce ethnocentrism.

► I am concerned about the state of educational and scientific institutes in countries of the former Soviet Union — in particular the condition of higher education and the drain of high-level scientific expertise to other regions. How can American and European universities together help to stabilize institutions of higher learning there? What opportunities can we pursue through cooperation with our sister foundations, nongovernmental organizations, the World Bank, the U.S. Agency for International Development, and other instruments in order to prevent the collapse of institutions of learning in countries that are so crucial for the maintenance of world peace and for the success of democracy?

► I am concerned that sub-Saharan Africa remains low in the American consciousness and last on its political agenda. I am especially concerned about the fate of African universities and research libraries, given the exodus of great talent from that continent to other parts of the world and given the environment of political instability and the severe economic hardship that prevail in many countries. How can we as a nation support African leadership in the university realm? Which are the institutions that should be strengthened? How can we, collectively and in a sustainable way, build model universities in Africa and support leadership training that will enhance the development process? How can universities and research institutes in Europe and the former Soviet Union be encouraged to work collaboratively with their African counterparts on cutting-edge issues in the behavioral, physical, and mathematical sciences? The challenge to American institutions is to pursue these efforts without contributing to the brain drain. Much of donor attention has been directed to achieving a market economy or privatization in Africa, but support for scholars within institutions of higher learning there would contribute substantially toward African development.⁵

► Islam is the fastest-growing religion in the United States — a phenomenon that few recognize but that will have a profound impact on American society in the future. As America develops a viable Muslim community, our understanding of Islam will be important for the harmony of our democracy. Of fundamental importance is that this country maintain its strong tradition of religious tolerance and religious freedom in the years to come. One helpful undertaking would be to explore the common humanistic traditions and common values of the three great faiths of Christianity, Judaism, and Islam — all of which have God and Abraham at the core of their beliefs.

CONCLUSION

On the eve of my departure from Brown University to Carnegie Corporation, an alumnus of Brown gave me a precious gift. It was a pamphlet entitled *American Philanthropy and the Advancement of Learning*, based on an address given at Brown on June 16, 1934, by one of the Corporation's great presidents, Frederick Keppel. In this address Keppel articulated some fundamental assumptions about the relationship of philanthropy to the advancement of learning that are valid today. He noted, first, "that such advancement is desirable as a national objective; second, that research and scholarly inquiry, though just about the least mercenary of occupations, do rest upon an economic basis; third, that donors are sincere, reasonably intelligent, and are doing their best to do good and not harm with their money, and that foundation trustees and executives possess these same qualities and moreover face their responsibilities in no spirit of arrogance or cock-sureness, recognizing that money confers no rights of direction or control, that it is always secondary in importance of the idea and the worker." But learning, wrote Keppel, does not advance itself. Some man or some woman does the advancing.

Andrew Carnegie's practice from the time he was in business was to find the talented individual and give him or her what was needed. But how does a foundation go about identifying the talent and know

what that person needs? And then, how is a foundation to be protected from the danger of making arbitrary decisions? How do the staff and trustees go about exercising intelligent judgment as to which of many competing fields of activity should be continued, which ones have reached the area of diminishing returns, and which new fields should be entered? And how do we ensure the highest quality of the work that we fund? These are among the many questions that Keppel raised that are as nettlesome in our time as they were in his. There are, moreover, many other causes falling within our charter that are not devoted directly to the advancement of learning but to social purposes, the testing of ideas in demonstrations and experiments, the synthesis and consolidation of existing knowledge, popular education to raise the level of public understanding, and advocacy of specific causes.

As Keppel noted, there are always many more projects to be fostered, many more individuals to be helped, than there are resources at hand to provide for them. The keys to our future success, therefore, will be selection and selectivity, priority setting with a keen sense of the entering wedge into problems, knowledge of where and how to capture the best talent, and the formation of alliances — not just coinvestment but real partnerships undertaken in the spirit of true collegiality. Carnegie Corporation can play its part in such alliances, not only with our sister organizations in the field, but with other institutions as well.

In closing I would like to pay tribute to my immediate predecessors David Hamburg, Alan Pifer, and John Gardner. All three were visionaries, all three were thoughtful intellectuals and pragmatic activists in the cause of education, peace, and social justice. Their example of using foundation funds as a form of risk capital, supporting the work of gifted minds that may come up with new solutions to old or current problems, is an inspiration to me and will be a constant guide in my own work on behalf of the Corporation.



PRESIDENT

NOTES

¹ Technically, Andrew Carnegie never attained full citizenship. While still a minor, Carnegie convinced his father to file his intention to become a citizen, but Will Carnegie died before taking the oath of allegiance and receiving certification of naturalization. Andrew apparently assumed that his father's declaration of intent was tantamount to the act of naturalization, making *him* an American citizen also. In any event, he claimed the rights of citizenship, which he exercised all his life.

² First published as "Wealth," in *North American Review*, No. CCCXCI, June 1889, and reprinted as *The Gospel of Wealth*.

³ Under Andrew Carnegie's deeds of gift, up to 7.4 percent of Carnegie Corporation's funds may be used to benefit the people of some countries that are or have been members of the British overseas Commonwealth.

⁴ Ellen Condliffe Lagemann, *The Politics of Knowledge: The Carnegie Corporation, Philanthropy, and Public Policy* (Middletown, CT: Wesleyan University Press, 1989).

⁵ Carnegie Corporation made a recent grant of \$1 million to the American Council of Learned Societies for fellowships in the humanities and social sciences, to be awarded to budding scholars from anglophone Africa as well as from the former Soviet Union. This grant harks back to the Corporation's program in the 1950s and 1960s to build African academic institutions, explored in E. Jefferson Murphy's book, *Creative Philanthropy: Carnegie Corporation in Africa, 1953-1973* (New York, NY: Teachers College Press, 1976).

Report on
Program

Carnegie Corporation, with a mandate to promote "the advancement and diffusion of knowledge and understanding," is the only U.S. agency created by Andrew Carnegie as a grantmaking foundation. Under Carnegie's deeds of gift, grants may be made anywhere in

the world, but they must benefit the people of the United States. Up to 7.4 percent of the funds, however, may be used to benefit the people of some countries that are or have been members of the British overseas Commonwealth. Awards are for projects that are broadly educational in nature but not limited to the formal education system or to educational institutions.

The foundation's policy is to select a few areas at a time in which to concentrate its grants. Currently, it has three major programs: *Education and Healthy Development of Children and Youth*, *Preventing Deadly Conflict*, and *Strengthening Human Resources in Developing Countries*. A fourth program, *Special Projects*, comprises grants and appropriations that do not fit easily into these categories. Under president Vartan Gregorian, current programs are being reviewed, and revised grantmaking guidelines will be issued in late spring 1998 (see p. 112 for more information).

Descriptions of each program and supported projects appear on pp. 27 through 86. Grants of \$25,000

or less are on pp. 44, 60, 74, and 85. Listings of selected publications and nonprint materials resulting from grants and appropriations may be found on pp. 87 through 90.

In 1996-97, the Corporation made two hundred sixty-three grants and eight appropriations for projects administered by the officers, totaling \$58,574,129. Seventy-three grants were made to thirty-six colleges and universities; one hundred eighty-eight were to one hundred sixty-four other institutions and two individuals.

Grants and Appropriations

GRANTS

Under the *Children and Youth* program, the Corporation in 1996-97 continued to support efforts to improve the quality of child care and address the needs of families with young children. Grants in adolescent health and development were awarded to

increase young people's access to health services; to test ways of reducing violence, pregnancy, and substance abuse; and to disseminate information about and evaluate full-service schools and educational enrichment programs. Funds were also awarded to projects aimed at enhancing the recruitment, training, induction, and continuing professional development of teachers.

Through the program on *Preventing Deadly Conflict*, the Corporation funds case studies, comparative analyses, and evaluations of the phenomenon of conflict and of strategies and approaches by intervenors, both within and outside government, to prevent it. Complementing this work are projects that monitor conflict, create working groups and permanent grassroots institutions to address underlying issues, and provide training and consultations in negotiation and mediation. Grants in 1996–97 were awarded for these and other on-the-ground efforts in the former Soviet Union, Central and Eastern Europe, Macedonia, and Cyprus.

The *Developing Countries* program supports national and regional partnerships between researchers and policymakers in Africa as a cost-effective way of sharing ideas and information. In 1996–97 the Corporation awarded a final grant for an operations research network on maternal mortality and continued to fund science policy dialogues and health policy networks. Grants to individual institutions working to broaden Americans' understanding of Africa were supplemented by joint Corporation–Ford Foundation funding of an initiative under which the grantees are participating in plans to hold a national summit on Africa. The aims are to create a vibrant policy agenda for guiding U.S. relations with Africa and to educate the U.S. public about the continent.

APPROPRIATIONS

Of the 1996–97 appropriations, five were for the Corporation's major multiyear study groups and programs:

Through the *Starting Points State and Community Partnerships for Young Children Initiative*, the Corporation is assisting sixteen states and cities as they implement recommendations of the Carnegie Task Force on Meeting the Needs of Young Children (1991–94). Grants are supplemented by appropriations for conferences, evaluations, and outreach to

state legislators, business leaders, local foundations, and professional groups.

The report of the *Carnegie Task Force on Learning in the Primary Grades* (1994–96) recommended a comprehensive developmental and educational strategy for children in prekindergarten through the fourth grade. A final appropriation supported media outreach and the presentation of the report's findings to professionals, practitioners, and policymakers.

The Corporation's *Middle Grade School State Policy Initiative* promotes the implementation of school reforms to foster the education and healthy development of young adolescents. Supplementing the five rounds of grants to fifteen states are appropriations for conferences, networking, evaluation, and the preparation of written and computer-based materials. In 1999 the initiative will become a self-sustaining, self-directed national network of states and schools engaged in intensive reform.

Released in December 1997, the final report of the *Carnegie Commission on Preventing Deadly Conflict* set forth three principles of effective violence prevention: early reaction to signs of trouble, the alleviation of pressures that trigger violent conflict, and extended efforts to resolve the underlying causes of violence. Many of the Corporation's grants made under the Preventing Deadly Conflict program are culminating in major conferences or publications on prevention themes that are expected to be of value to the commission during its two-year dissemination phase.

The nineteen reports of the *Carnegie Commission on Science, Technology, and Government* (1988–93) contained more than 300 recommendations on how government at all levels can use scientific contributions to improve executive, legislative, regulatory, and judicial decision making. Although the commission's follow-up work concluded in 1997, the reports continue to be distributed. A forthcoming publication will outline the commission's impact to date and document the role that nongovernmental commissions may have on important policy issues. Several new projects that were inspired by the commission's recommendations have been initiated with Corporation grants.

Education and Healthy Development of Children and Youth

Recent reports are showing that the educational performance of students in the United States is not keeping pace with the nation's demand for high school and college graduates who are well grounded in reading, writing, science, and mathematics. High priority must be placed on improving the education of disadvantaged students, who constitute a growing proportion of the student body in urban schools.

In an attempt to deal with these challenges, the Corporation's program, Education and Healthy Development of Children and Youth, is focusing on the early developmental years, when the biological, emotional, and intellectual underpinnings of long-term healthy development and educational success are established, and on the transition from ages ten to fifteen, when many young people begin to engage in risk-taking behaviors and move toward dropping out of school.

The subprogram in *early childhood and early grades* includes efforts to strengthen families with young children, improve the quality of early care and education, and ensure success in moving from preschool to the early elementary grades. Under *young adolescents*, the foundation seeks to enhance the educational achievement of middle grade and junior high school students and reduce their involvement in violence, drug use, and early sexual activity. Across both age spans, the Corporation emphasizes ways that families, schools, community organizations, and the media can cooperate in helping children and young adolescents become healthy, productive, problem-solving adults.

In *science education*, grants are made to

improve the teaching and learning of science and mathematics, in school and during the nonschool hours. The Corporation is particularly concerned with the replication of effective programs that encourage minority members and girls to pursue studies in science and math.

Under *education reform*, the emphasis is on strengthening the teaching profession, implementing performance standards for students, restructuring schools to promote high educational achievement of all students, and linking schools more effectively to other institutions.

Between 1986 and 1996, the developmental and educational needs of children and young adolescents were addressed by three study groups: the Carnegie Task Force on Meeting the Needs of Young Children, the Carnegie Task Force on Learning in the Primary Grades, and the Carnegie Council on Adolescent Development. The reports of these study groups together cover the first fifteen years of life and form the basis for a comprehensive approach to children's learning and development.

Through its crosscutting, or *general*, grants, the Corporation is exploring the broad social and economic forces that affect family functioning and linking new knowledge about children and youth to media and policy audiences. In the Youth Intergroup Relations Initiative, grants are supporting research aimed at improving relations among children and youth from different racial, ethnic, and religious backgrounds.

As a result of the Corporation's review of its current programs, it is possible that priorities within the program on children and youth will change in 1998.

Carnegie Corporation of New York, New York, NY. Technical assistance to the Starting Points State and Community Partnerships for Young Children. Appropriation administered by the officers of the Corporation. One year, \$440,000.

The Starting Points State and Community Partnerships for Young Children is a program of grants to ten states and six cities to test strategies for adopting recommendations of the Corporation's task force on meeting the needs of young children. The recommendations are to promote responsible parenthood, ensure high-quality child care choices, provide children with good health and protection, and mobilize community action toward these ends. In June 1997, experts in child development, programs, and policy met with the grantees to review progress and assess the impact of new health and human services block grants on state and city programs. Corporation staff described the initiative to legislators and business leaders and advised a public engagement campaign to place young children's needs higher on the nation's agenda.

Michael H. Levine, Program Officer, Carnegie Corporation of New York.

Harvard University, Cambridge, MA. Technical assistance and research on state and community initiatives to meet the needs of young children. Fifteen months, \$200,000.

Early results of the Starting Points partnerships are the subject of analyses by the Harvard Family Research Project and the National Center for Children in Poverty at Columbia University (see p. 29). Team members are studying the sites' use of evaluation data to improve decisions about their programs, their formulation of strategies to sustain progress, and the impact of devolution, especially welfare changes. Papers will be issued to the sites and to policymakers at all levels who are concerned with educational, health, and social programs. The Harvard researchers are also helping site leaders share information with each other and perform their own assessments.

Heather B. Weiss, Director, Harvard Family Research Project.

Boston University, Boston, MA. Technical assistance and publications on young children's healthy development. One year, \$183,500.

Members of the pediatrics department of Boston University's School of Medicine are preparing educational materials synthesizing research findings on brain growth in the first three years of life and on the relationship between mothers' well-being and their children's healthy development. Starting Points leaders will use these materials in presentations to policymakers, business leaders, health providers, and parents. Project staff members are also fostering cooperation between Starting Points sites and the Healthy Steps demonstration program, funded by the Commonwealth Fund, that trains pediatricians to work with parents in support of young children's growth and development.

Barry S. Zuckerman, Professor and Chairman, Department of Pediatrics, Boston University School of Medicine.

Families and Work Institute, New York, NY. Public education campaign on meeting the needs of young children, conducted in collaboration with the Reiner Foundation. Twenty-two months, \$350,000.

In 1995 the Reiner Foundation and the Families and Work Institute began collaborating on a national campaign to increase public understanding of the importance of the early years in laying a foundation for lifelong health and learning. The campaign has produced public service announcements and a prime-time television program that first aired on ABC in April 1997, coinciding with the publication of a special issue of *Newsweek* concentrating on the healthy development of children and their families. A videotape and a CD-ROM for new parents have been developed, along with a toll-free telephone number linking callers to community resources. More than a hundred national organizations, and coalitions in every state, have participated in the campaign, which has also been supported by other foundations.

Ellen Galinsky, President, Families and Work Institute.

Columbia University, New York, NY. Support of the National Center for Children in Poverty. One year, \$500,000.

The National Center for Children in Poverty, based at Columbia University's School of Public Health, promotes promising state and local approaches to maternal and child health, early childhood development, and family and community support. In 1998 it is issuing an update of *Map and Track*, an inventory of program and policy initiatives for young children in all fifty states. The new edition will expand the indicators of child health and well-being and examine the effect on children of changes in relevant federal policies. Jointly with the Harvard Family Research Project, the center is analyzing progress achieved under the Starting Points grants initiative and providing technical assistance to the grantees.

J. Lawrence Aber, Director, National Center for Children in Poverty.

Yale University, New Haven, CT. Dissemination of the final report of the Quality 2000 Initiative for the Advancement of Early Care and Education. Eighteen months, \$300,000.

The 1997 report of the Quality 2000 Initiative for the Advancement of Early Care and Education, *Not by Chance*, concludes that most of the nation's early childhood programs are of low quality and do not prepare children adequately for school. The report, produced in consultation with scholars, policymakers, practitioners, and business leaders, calls for high standards of care and education, improved training and compensation for and accountability by caregivers, and licensing of facilities that promote children's health and development. Quality 2000 staff have prepared an abridged version of the report and are creating a World Wide Web site. The A. L. Mailman Family Foundation also provides support.

Sharon Lynn Kagan, Senior Associate, Bush Center in Child Development and Social Policy.

National Governors' Association Center for Best Practices, Washington, DC. Assistance to states in implementing policies that promote young children's healthy development and school readiness. Eighteen months, \$175,000.

Governors in several states have become strong proponents of programs to promote young children's healthy development and readiness for school. The National Governors' Association Center for Best Practices is producing and distributing fact sheets, reports, a handbook, and other written materials for governors and their policy advisors on such topics as states' responses to welfare changes, estimated savings in health and other expenditures that may result from investments in early childhood programs, new measures of the effectiveness of these programs, and the establishment of public/private partnerships on behalf of children.

Evelyn Ganzglass, Director, Employment and Social Services Policy Studies, National Governors' Association Center for Best Practices.

Finance Project, Washington, DC. Research and planning on the financing of programs for young children and their families. One year, \$120,000.

Early care and education programs are a patchwork of numerous separate, uncoordinated federally funded programs and a few initiatives financed by states and localities. As the nation faces a growing demand for services for young children, states and cities are recognizing the need for new financing strategies. The Finance Project is an independent organization created to improve the effectiveness and equity of public funding for early childhood programs. Staff members are bringing state and local policymakers together to identify solutions to common financing problems and receive updates on the impact of block grants and welfare changes on the funding of services for young children. Additional funding comes from the W. K. Kellogg and the Miriam and Peter Haas foundations.

Cheryl D. Hayes, Executive Director, Finance Project.

Wheelock College, Boston, MA. Support of the Center for Career Development in Early Care and Education. Two years, \$350,000.

Making a Career of It, a 1993 publication of the Center for Career Development in Early Care and Education at Wheelock College, reported that states lack coordinated systems for training staff in early childhood programs. With policymakers in four states, the center is creating quality assurance mechanisms, such as staff credentialing and certification systems, and engaging higher education institutions in building model training projects. Beyond serving as a clearinghouse for information on state regulations governing early care and education, it is launching a project to demonstrate, through research and pilot programs, how to expand and diversify leadership of the early childhood field. The center also receives funding from government agencies and other foundations.

Andrea Genser, Executive Director, Center for Career Development in Early Care and Education.

National Center for the Early Childhood Work Force, Washington, DC. Support. Eighteen months, \$225,000.

In 1997 the National Center for the Early Childhood Work Force released the results of two studies. One identifies innovative practices being tested by government, business, and the nonprofit sector to improve child care workers' skills and job stability. The second study analyzes the impact that accreditation of a child care facility has on staff quality and compensation. The center is examining the extent to which former welfare recipients and others without previous child care training are entering the field. It is also producing a resource manual for child care centers on ways to stabilize staffing. Additional support comes from the David and Lucile Packard Foundation and the Charles Stewart Mott Foundation.

Claudia E. Wayne, Executive Director, National Center for the Early Childhood Work Force.

Center on Budget and Policy Priorities, Washington, DC. Policy analyses and publications on federal and state health and nutrition programs for low-income mothers and young children. One year, \$200,000.

In 1996 Congress redesigned the nation's welfare program to be administered by the states. Staff members of the Center on Budget and Policy Priorities are assessing the effect of welfare changes on state and local child health programs and on federal programs that serve children — in particular, Medicaid, which offers preventive health care and treatment, and the Women, Infants and Children program, which provides nutritious foods. They are also informing professional groups about state outreach and enrollment strategies for ensuring that children eligible for Medicaid continue to have access to health care. Other foundations are providing further support.

Cynthia Mann, Senior Policy Analyst, Center on Budget and Policy Priorities.

University of Colorado Health Sciences Center, Denver, CO. Study of the effectiveness of nurse and paraprofessional home visits for low-income mothers and children. Twenty-one months, \$300,000.

Child development expert David L. Olds has been studying a prenatal and early childhood home-visiting program created in 1977 in Elmira, New York, and later implemented in Memphis and Denver. In Elmira, women receiving home visits have shown greater workforce participation and have had fewer pregnancies four years after delivery than women in a control group; in Memphis, women have smoked less and consumed less alcohol during their pregnancies. Olds, who now directs a research unit at the University of Colorado Health Sciences Center, is analyzing the extent to which the programs, using nurse or paraprofessional home visitors, produce savings in government spending on welfare, Medicaid, education, and criminal justice.

David L. Olds, Director, Prevention Research Center for Family and Child Health.

National Committee to Prevent Child Abuse, Chicago, IL. Research network to evaluate an early childhood intervention and family support program. Two years, \$250,000.

Healthy Families America was launched in 1992 by the National Committee to Prevent Child Abuse to provide home visits and health and social services to at-risk families with young children. Today it operates in more than 200 communities nationwide. Members of a research network evaluating the program are identifying ways to reach families in greatest need, examining the factors that influence participation in the program, and determining which families benefit the most. Their findings and those of formal site evaluations will be disseminated in fact sheets, presentations at professional conferences, and articles in professional journals.

Deborah Daro, Director, Center on Child Abuse Prevention Research.

Carnegie Corporation of New York, New York, NY. Carnegie Task Force on Learning in the Primary Grades. Appropriation administered by the officers of the Corporation. One year, \$158,700.

In 1996 the Carnegie Task Force on Learning in the Primary Grades released its report, *Years of Promise: A Comprehensive Learning Strategy for America's Children*. The recommendations include a call for expanded high-quality preschool education and the reorganization of elementary schools to enable all students to meet rigorous academic standards before they complete the fourth grade. Another recommendation is for parents and for leaders of community organizations, after-school programs, and media organizations to coordinate their efforts toward ensuring educational success for all children. This appropriation covered the costs of the report's broad dissemination.

Michael H. Levine or Anthony W. Jackson, Program Officers, Carnegie Corporation of New York.

Johns Hopkins University, Baltimore, MD. Development and dissemination of an effective instructional program for disadvantaged children. Eighteen months, \$500,000.

Success for All is a model elementary education program aimed at ensuring that disadvantaged children succeed in school (see also p. 34). Created by Johns Hopkins University researchers and Baltimore public school teachers, it offers early, sustained help in language development, reading, and writing and provides family support to strengthen links between learning at home and in school. It is used in half the nation's fifty largest urban districts and in a total of 750 schools. A companion program, Roots and Wings, adds math, social studies, and science. The researchers are creating new materials for students and the family support teams and hiring more trainers to scale up both programs. Other foundations provide further support.

Robert E. Slavin or Nancy A. Madden, Codirectors, Center for Research on the Education of Students Placed at Risk.

Yale University, New Haven, CT. Development and evaluation of a comprehensive model of school reform and services for families of children from birth to age twelve. Two years, \$350,000.

Elements of two programs — the School of the 21st Century and the School Development Program, devised, respectively, by Yale University educators Edward Zigler and James P. Comer — have been combined to create a model of integrated school-linked services for families with children from birth to age twelve. The model is operating on a pilot basis in four school districts. With support also from the Kraft Foundation, staff members at Yale's Bush Center in Child Development and Social Policy are studying the model's effect on children's school readiness and academic progress and on parents' knowledge of child development and involvement in their children's schooling.

Matia Finn-Stevenson, Associate Director, Bush Center in Child Development and Social Policy.

Community Television of Southern California, Los Angeles, CA. Evaluation of and educational outreach for a television series on intergroup understanding and prosocial behavior for preschool children. Eighteen months, \$300,000.

The *Puzzle Place*, created by Community Television of Southern California and Lancit Media Productions in New York, is a public television series developed to encourage children's prosocial behavior and intergroup understanding. Its puppet characters, who represent various cultures and backgrounds, emphasize taking responsibility, telling the truth, and cooperating with each other. A brochure for parents and a guide for caregivers have been distributed nationwide through parent and community organizations, libraries, and Head Start programs. A research advisory team based at Harvard University is formulating a plan to assess the program's impact on children's development of social skills and ways that parents can reinforce these skills.

Marjorie Kaplan, Vice President, Lancit Media Productions.

Judge Baker Children's Center, Boston, MA. Evaluation of a social skills and literacy development program. Two years, \$300,000.

Voices of Love and Freedom, a program for grades K-12, aims to strengthen children's relationships with family, friends, and community. Created by the Judge Baker Children's Center and the graduate schools of education of Harvard University and the University of Massachusetts, it is being adopted within Boston schools. By reading and discussing stories about children who, like themselves, may be experiencing interpersonal problems, students learn social skills based on self-awareness and intergroup understanding. The center is studying the program's effects on students' social and academic skills and on the likelihood of their engaging in risk-taking behavior.

Robert L. Selman, Senior Associate, Judge Baker Children's Center.

Carnegie Corporation of New York, New York, NY. Middle Grade School State Policy Initiative. Appropriation administered by the officers of the Corporation. One year, \$1,050,000.

The Middle Grade School State Policy Initiative, launched in 1990, is a program of competitive grants to agencies in fifteen states aimed at promoting reforms in the education of young adolescents. These reforms were called for in *Turning Points: Preparing Youth for the 21st Century* (1989), one of several Corporation reports on young people's educational and developmental needs. Each Corporation grant is matched by a commitment of funds from the state.

The Council of Chief State School Officers is a national organization of the public officials who head elementary and secondary education in each state. Since 1991 the Corporation has contracted with the council to provide technical assistance to the grantees in each of the fifteen states participating in the initiative and to networks of schools within the states. The council is also being asked to monitor each grantee's progress. It is organizing conferences for project directors and school principals to consider ways of further integrating middle grade reform into the states' broader education reform agendas. Council staff members will write a book on policies supportive of middle grade reform, for publication in 1998.

Also under this appropriation, researchers at the University of Rhode Island are completing an analysis of the impact of the reforms in the fifteen states. The research correlates changes in school practices with changes in academic and behavioral outcomes for students and with changes in job satisfaction among school staff members. It will be used to support the preparation of a guide to successful practices. In addition, the institute, in cooperation with state project directors and Corporation staff, is planning the establishment of a national middle grade reform research and development center.

Anthony W. Jackson, Program Officer, Carnegie Corporation of New York.

Middle Grade School State Policy Initiative, New York, NY. Implementation of state policy reforms in middle grade education. Eleven grants, two years, \$200,000 each.

The Middle Grade School State Policy Initiative, an operating program of the Corporation, has led to the formulation of state policies encouraging local middle and junior high schools to adopt promising practices in line with the main recommendations of *Turning Points*. Various states have formed partnerships with private institutions and health and other state agencies, thus promoting the efficient integration of programs and resources for students. All the states have concentrated their efforts on networks of "systemic change schools" serving large numbers of low-income students. In each state, students in at least some schools have shown impressive gains in academic achievement.

Eleven states, listed below, have each received a final grant. Strategies for sustaining school reform include the creation of university-based centers to improve adolescent education and development and the establishment of public/private partnerships between state education agencies and middle grade educational associations.

California Department of Education

Colorado Department of Education

Connecticut State Department of Education

Illinois State Board of Education

Maryland State Department of Education

University of New Mexico

North Dakota Department of Public Instruction

Rhode Island Department of Elementary and
Secondary Education

South Carolina Education Improvement Act
Select Committee

Texas Education Agency

Vermont Department of Education

Anthony W. Jackson, Program Officer, Carnegie Corporation of New York.

University of Rhode Island, Kingston, RI. Research on the impact of adopting middle grade reforms. Two years, \$449,000.

In 1990 the Association of Illinois Middle Schools created the Illinois Middle Grades Network. Through consultations, workshops, and referral to expert advisors, the association helps the seventy-three schools in the network plan and adopt changes recommended in *Turning Points*. Researchers formerly at the University of Illinois and now at the University of Rhode Island are analyzing the impact of introducing the reforms in the Illinois schools. Early results reveal that as implementation moves from a narrow to a wide range of reforms, academic and behavioral outcomes for at-risk students improve dramatically. The study team is presenting these and other findings in professional journals and at national conferences.

Robert D. Felner, Director, National Center on Public Education and Social Policy, University of Rhode Island.

Puerto Rico Community Foundation, Hato Rey, PR. Project to improve middle grade schools in Puerto Rico. Seventeen months, \$350,000.

In 1992 the Puerto Rico Community Foundation created a commission of educators and island policymakers to document problems in the education of Puerto Rico's young adolescents and propose interventions. With assistance from the foundation, eight demonstration schools in disadvantaged communities are adopting the commission's recommendations, many of which parallel the principles outlined in *Turning Points*. In addition to increasing the number of demonstration schools to twelve, the foundation is publishing working papers on critical issues in middle grade reform in Puerto Rico and expanding membership in a network of middle grade educators to include health workers and other professionals serving adolescents.

Andrea Barrientos, Program Coordinator, Puerto Rico Community Foundation.

Johns Hopkins University, Baltimore, MD. Development and implementation of a middle grade curriculum. Two years, \$400,000.

Success for All, developed by education researcher Robert E. Slavin, is a model elementary school program that assists disadvantaged children with language development, reading, and writing (see p. 31). A program called Roots and Wings adds math, social studies, and science components to the model. Johns Hopkins University researchers are adapting the programs to the middle grades and testing them in schools, some of which are participating in the Corporation's Middle Grade School State Policy Initiative. The curriculum will provide the basis for literacy materials and training to be replicated in additional schools.

Robert E. Slavin or Nancy A. Madden, Codirectors, Center for Research on the Education of Students Placed at Risk.

Philadelphia Education Fund, Philadelphia, PA. Development and dissemination of effective middle grade reforms. Two years, \$500,000.

The Talent Development Middle School model is a comprehensive approach to middle school reform that provides all students with a demanding curriculum in reading/language arts, writing, mathematics, science, and social studies. It was created by Douglas J. MacIver of Johns Hopkins University's Center for Research on the Education of Students Placed at Risk. The Philadelphia Education Fund, the School District of Philadelphia, and the center are refining the model and implementing it in three middle schools that serve very poor families in Philadelphia. Staff members of the fund are creating networks for the city's middle school principals and teachers, through which they can learn about and share effective practices. Further support comes from the Pew Charitable Trusts.

Warren Simmons, Executive Director, Philadelphia Education Fund.

National Academy of Sciences, Washington, DC. Support of the Forum on Adolescence. Eighteen months, \$800,000.

The National Academy of Sciences' Board on Children, Youth, and Families addresses contemporary conditions that affect young people and their families. The board's Forum on Adolescence, created in 1996 with core support from the Corporation, is charged with synthesizing and stimulating research to advance social action related to adolescent development and communicating the results to policymakers. Guided by experts from a range of disciplines, the forum has convened meetings to encourage collaborative research and action in adolescent health, development, and well-being. Planned efforts include an annual symposium for researchers and policymakers, a workshop on youth development, and a seminar presenting research findings to regional journalists.

Michele D. Kipke, Director, Forum on Adolescence, National Academy of Sciences.

Boys & Girls Clubs of America, Atlanta, GA. Implementation and evaluation of model education enhancement programs for young adolescents in public housing projects. Eight months, \$201,000.

Of the two million children and adolescents served by Boys & Girls Clubs of America, two-thirds live in poverty. The organization is completing an evaluation of a model education enhancement program in public housing sites. The program offers young people structured after-school opportunities to do homework, engage in group discussions, participate in sports, and attend cultural events. Five clubs with both the traditional program and the education enhancement model are being compared with ten other public housing sites — five with a traditional club program only and five with no club at all. The findings will be published in the organization's *Connections* magazine and in scholarly journals.

Judith J. Carter, Senior Vice President for Program Services, Boys & Girls Clubs of America.

American Medical Association Education and Research Foundation, Chicago, IL. Training to provide clinical preventive services in school-based health centers. Two years, \$600,000.

The pamphlet, *Guidelines for Adolescent Preventive Services*, was issued in 1992 by the American Medical Association (AMA) for those working in private medical practice, community health centers, managed care facilities, and school health centers. The guidelines offer a practical framework for providing high-quality health care to young people. The AMA has created a training program for practitioners in school-based health centers and is continuing to develop demonstration health centers in middle schools. The effects of the guidelines on providers' practices and on adolescents' and parents' attitudes and behavior are being assessed. Funding is to the AMA Education and Research Foundation, the group's tax-exempt arm.

Arthur B. Elster, Director, Department of Adolescent Health, American Medical Association Education and Research Foundation.

Children's Aid Society, New York, NY. Information and technical assistance on developing community schools. Two years, \$376,000.

In 1992 the Children's Aid Society launched a full-service model community school in a largely Latino section of New York City. I.S. 218, a middle school, consists of four self-contained academies open six days a week, year-round, from 7:00 A.M. to 10:00 P.M. Besides a rigorous academic program, it offers breakfast, after-school activities, and family services. Society staff members promote the model through presentations and a newsletter. The William T. Grant and the Charles Stewart Mott foundations are supporting a longitudinal evaluation of educational outcomes at the school. In addition, the society's National Institute for Community Schools is assisting schools across the country and other localities that are engaged in developing similar programs.

Philip Coltoff, Executive Director, Children's Aid Society.

National Center for Youth Law, Chapel Hill, NC. Study of adolescents' access to health care under Medicaid, managed care, and health care reform, conducted with the National Health Law Program. Two years, \$390,000.

The National Center for Youth Law and the National Health Law Program have analyzed the effect of changes in Medicaid and managed care on adolescents' access to health services and the quality of those services. Their findings and recommendations are being communicated through written materials and presentations to professional and policy audiences. The two groups are now preparing policy briefs on four adolescent health issues: coverage for the uninsured, the adequacy of copayments for services, age-appropriate performance measures of services, and strategies to meet adolescents' special health needs. They are also helping four states create model managed care arrangements for adolescents.

Abigail English, Project Director, Adolescent Health Care Project, National Center for Youth Law.

National Campaign to Prevent Teen Pregnancy, Washington, DC. Support. One year, \$500,000.

The National Campaign to Prevent Teen Pregnancy, created in 1996, is a nonpartisan private-sector effort to address the rate of U.S. school-age pregnancy, the highest of any industrialized nation. Four task forces are enlisting help from the media, stimulating state and local coalitions, linking research findings about effective programs with these efforts, and leading discussions of ways to move forward in a society of diverse values. The campaign, also funded by individuals and other foundations, is observing pregnancy prevention programs, holding meetings, and issuing commissioned papers. Its 1997 report, *No Easy Answers: Research Findings on Programs to Reduce Teen Pregnancy*, received widespread public attention.

Sarah S. Brown, Director, National Campaign to Prevent Teen Pregnancy.

Cornerstone Consulting Group, Houston, TX. Technical assistance and replication of the Teen Outreach Program. Two years, \$150,000.

The Teen Outreach Program (TOP) is one of the nation's few pregnancy prevention programs to have been carefully evaluated and to have shown positive results. Adopted in middle and high schools in thirty-six states, TOP combines life-skills instruction with community service and peer support. The program, which was created by the Association of Junior Leagues International, is managed by Cornerstone Consulting Group, a youth-serving organization. Besides revising curricular materials, monitoring program quality, and establishing TOP in churches, residential care facilities, and group homes, Cornerstone is replicating it in the affiliates of state and national groups. The Charles Stewart Mott Foundation also provides funding.

Sharon Lovick Edwards, Cofounder and Partner, Cornerstone Consulting Group.

Child Welfare League of America, Washington, DC. Project to prevent pregnancy in adolescents in out-of-home care, conducted in collaboration with the Council of State Governments. Two years, \$253,000.

As states revise their welfare systems, they are studying the link between adolescent childbearing and welfare dependency and devising pregnancy prevention strategies. The Child Welfare League of America and the Southern Regional Project on Infant Mortality of the Southern Governors' Association have informed Tennessee and South Carolina legislators about model efforts in other states. One focus is the needs of adolescent girls in out-of-home care, who have especially high rates of childbearing. Besides holding a briefing in Alabama, staff members are updating a resource manual for child welfare personnel and foster care parents and issuing materials on programs in all the southern states. The Charles Stewart Mott Foundation furnishes additional support.

Bronwyn Mayden, Program Director, Adolescent Pregnancy and Prevention Services, Child Welfare League of America.

National Urban League, New York, NY. Education and youth development program. Two years, \$250,000.

The National Urban League, which is supported by corporations and other foundations, was created in 1910 to help African Americans attain social and economic equality. In a pilot effort, the league is working with two of its 115 affiliates to assess the quality of teaching and youth development activities in the community. Each education audit focuses on the quality of teachers and their training, curriculum content and rigor, support for students taking academically challenging courses, access to sophisticated educational tools and resources, and the availability of constructive after-school and summer programs. The audits will be used by these two affiliates to build support for corrective action among parents, members of the clergy, and community leaders.

Velma Cobb, Director, National Education/Youth Development Policy, Research and Advocacy, National Urban League.

Academy for Educational Development, Washington, DC. Strengthening the capacity of intermediary organizations to promote youth development. Two years, \$400,000.

The Academy for Educational Development's Center for Youth Development and Policy Research is assisting two national and two local organizations — the United Way, the Coalition of Community Foundations for Youth, the Community Network for Youth Development in San Francisco, and YouthNet in Kansas City — in becoming stronger advocates for youth programs. United Way affiliates and coalition members are creating funding guidelines for youth programs, while the two local groups are devising public education strategies and materials in support of these programs. Additional funding comes from the Annie E. Casey and Ford foundations.

Richard Murphy, Director, Center for Youth Development and Policy Research, Academy for Educational Development.

National Coalition of Hispanic Health and Human Services Organizations, Washington, DC. Policy initiative on the health and well-being of Hispanic youth. One year, \$285,000.

The Growing Up Hispanic Youth Policy Initiative, created by the National Coalition of Hispanic Health and Human Services Organizations (COSSMHO), analyzes data from national and state sources on different subgroups of Hispanic adolescents. Sixteen categories are covered, including physical fitness, mental health, and access to insurance and clinical services. The project has been pilot-tested by two COSSMHO member organizations in Colorado and Texas and, with Ford Foundation funding, has been expanded to California, Florida, New Mexico, and New York. Data will be used to make recommendations to local, state, and regional agencies seeking to improve Hispanic young people's health.

Jane L. Delgado, President and Chief Executive Officer, National Coalition of Hispanic Health and Human Services Organizations.

Carter Center, Atlanta, GA. Program on guns as a health risk to children and adolescents. Two years, \$400,000.

Not Even One is a program of the Carter Center aimed at reducing firearm fatalities among children and youth. In Atlanta, Albuquerque/Santa Fe, and Compton/Long Beach, California, program staff members train teams of religious leaders, criminal justice officials, and parents and other private citizens to use a public health perspective in analyzing every incident — homicide, suicide, accident — involving the death of a young person by gunfire. From their investigations, the teams identify the factors leading to firearm violence and suggest preventive interventions. The center is refining the program's training, strengthening its data collection, and sponsoring an independent evaluation. Support also comes from the Robert Wood Johnson Foundation.

Wallace S. Woodard, Director, Not Even One, Carter Center.

Omega Boys Club of San Francisco, San Francisco, CA. National syndication of *Street Soldiers*, a radio program intended to prevent youth violence. Two years, \$300,000.

The Omega Boys Club of San Francisco serves young men and women ages eleven to twenty-five. Its programs, which receive further funding from corporations and other foundations, include tutorials, college placement and scholarship support, employment training, and discussions of values and family responsibilities. *Street Soldiers*, a radio call-in show, fields about forty calls a week that address substance abuse, violence, and difficult family situations. Listeners whose problems cannot be handled on air are asked to call a help line, where they are referred to an Omega counselor or to social service agencies in their community. *Street Soldiers* is being syndicated to ten cities nationwide, and help lines are being created in those cities to connect listeners to local services.

Joseph Marshall, Executive Director, Omega Boys Club of San Francisco.

Vera Institute of Justice, New York, NY. Ethnographic study of violence by and toward adolescents. Twenty-six months, \$200,000.

The Vera Institute of Justice's Growing Up Safe and Smart Project is studying violence among New York youth in three schools and an after-school program. Ethnographic researchers are interviewing and tracking students from seventh to tenth grade to learn how much violence they are exposed to or involved in, whether they respond to violence individually or in groups, and whether they feel more reluctant to fight once adults discover the conflict. The findings will be used to design violence prevention programs in New York and elsewhere that foster collaboration among parents, schools, and the police. The Pinkerton and William T. Grant foundations and the National Institute of Justice also provide funding.

Mercer L. Sullivan, Senior Research Fellow, Vera Institute of Justice.

Center on Addiction and Substance Abuse, New York, NY. Adolescent studies program. Two years, \$500,000.

People who reach the age of twenty without smoking, using illegal drugs, or abusing alcohol rarely take up these practices. This fact is at the heart of the adolescent studies program of the Center on Addiction and Substance Abuse at Columbia University. The final report of the center's National Commission on Substance Abuse Among America's Adolescents will detail a survey of young people and their parents and recommend strategies for schools and communities. The adolescent studies program is also refining the six-city Children at Risk demonstration project, which provides social services to at-risk eleven- to thirteen-year-olds and their families. The project will be replicated in five other cities. Funding also comes from corporations and other foundations.

Joseph A. Califano, Jr., Chairman and President, Center on Addiction and Substance Abuse.

Educational Broadcasting Corporation. New York, NY. Production and educational outreach for two *In the Mix* special programs. One year, \$135,000.

In the Mix, a half-hour television program for teenagers airing on Public Broadcasting Service stations, consists of news and consumer segments on health, educational, and social issues interspersed with music videos. Two special shows have been created by the independent production company Castle Works, with WNET-TV as the presenting station. The first is *Sports — Get in the Game*, highlighting the social and physical benefits of playing sports; the second is *Self Image, Health and the Media*, addressing the media's definition of ideal physical appearance. Discussion guides are being distributed to national and local outreach partners. The Corporation's grant is to the Educational Broadcasting Corporation, the fund-raising arm of WNET.

Sue Castle, President, Castle Works, New York, NY.

Joy G. Dryfoos, Hastings-on-Hudson, NY. Research and dissemination of a book on programs that foster adolescent development. One year, \$50,000.

In her forthcoming book, *Safe Passage: Making It Through Adolescence in a Risky Society*, Joy G. Dryfoos identifies for parents, teachers, and community leaders some of the innovative programs that have been shown to affect young people's learning and development in positive ways. The book focuses in particular on restructured schools, elements of which include small classes, sustained student-teacher contact, and the availability of after-school programs and community service opportunities. The Corporation has supported Dryfoos's research and writing on two previous books as well as this one. The current grant is permitting the purchase of copies of *Safe Passage* for distribution to policymakers and for other dissemination efforts. It is also enabling Dryfoos to continue writing about youth development.

SCIENCE EDUCATION

American Museum of Natural History, New York, NY. Planning and production of outreach programs and materials in earth and planetary science. Two years, \$400,000.

The American Museum of Natural History's National Center for Education, Technology and Science Literacy creates teaching materials and programs for use in schools, libraries, universities, community centers, and science museums. A new initiative of the center concerns the origins, evolution, and composition of the earth and the universe. Jointly with scientists, science teachers, curriculum developers, television producers, and telecommunications specialists, the center is devising educational plans and prototypes for a coordinated set of programs and outreach activities on earth and planetary science. Further support comes from public and other private sources.

Myles Gordon, Director of Education, American Museum of Natural History.

WGBH Educational Foundation, Boston, MA. Production of a television program on scientific discovery and related outreach activities. Two years, \$150,000.

A *Science Odyssey* is a public television series for young people designed to recast their perception of science and scientists and portray science as a useful way to solve problems and look at the world. The program, developed by WGBH-TV in Boston, is airing nationally in five segments on PBS stations in early 1998. The topics are technology and engineering; views of the universe and matter; origins of life; health and medicine; and human nature and behavior. WGBH and national youth-serving and science organizations are creating videocassettes and a teacher's guide. They are also carrying out science demonstration activities for youth. Public and other private sources provide further funding.

Thomas Friedman, Executive Producer, WGBH Educational Foundation.

Scholastic Entertainment, New York, NY. Production of a television series about science for elementary school children. One year, \$250,000.

The *Magic School Bus* is the most popular science program on public television for its target audience of six- to nine-year-olds. The series, produced by Scholastic Entertainment (formerly Scholastic Productions), features a school bus that can transport children from the inner spaces of the human body to outer space, where they explore different scientific facts and concepts. Topics aired in the 1997-98 season include molecules, gravity, wetlands, and computers. Scholastic offers free activity guides to schools, museums, public television stations, and youth-serving organizations, with special attention to settings that serve girls and minority children. Additional funding comes from the National Science Foundation.

Deborah Forte, Division Head, Scholastic Entertainment.

College Entrance Examination Board, Washington, DC. Planning and development of a research agenda for the EQUITY 2000 program. Twenty-five months, \$400,000.

EQUITY 2000, a precollege program of the College Entrance Examination Board, aims to increase minority and low-income students' rates of college entry and academic success. Because algebra and geometry are usually prerequisites for college preparatory courses, the program encourages participating schools to offer these gateway courses to all their middle and junior-high-school students. Evaluations show enrollment gains in algebra and geometry but high course failure rates and lower-than-expected results on state tests. Besides creating algebra and geometry assessments, the board is funding research to explain students' success or failure and will propose ways to improve achievement levels.

Vinetta C. Jones, Executive Director, EQUITY 2000.

EDUCATION REFORM

National Governors' Association Center for Best Practices, Washington, DC. Assistance to states in implementing national goals for education in the 1990s. Eighteen months, \$400,000.

National education goals set in 1989 require that all students, regardless of background or ability, acquire the knowledge and skills needed to succeed in a changing economy. The National Governors' Association Center for Best Practices offers information and technical assistance to states seeking to create internationally competitive standards. Center staff members are discussing assessments and accountability systems aligned with the standards, recommending ways to link the standards to teacher preparation and professional development, and proposing interstate partnerships as a cost-saving technique. Other foundations also provide support.

John W. Barth, Director, Education Policy Studies, National Governors' Association Center for Best Practices.

National Board for Professional Teaching Standards, Washington, DC. Support. One year, \$1,000,000.

The National Board for Professional Teaching Standards was created by the Corporation in 1987 to implement the recommendations of *A Nation Prepared: Teachers for the 21st Century*, a report of the Carnegie Forum on Education and the Economy. The board has set standards for excellence in teaching in different fields and has created a voluntary performance-based certification system, called National Board Certification, to assess and certify teachers who meet these standards. Certification focuses on teachers' mastery of subject matter, understanding of child and adolescent development, and ability to work effectively with children and parents.

Certificates are offered in fields defined by developmental level (early and middle childhood, early adolescence, young adulthood) and subject matter, including special certificates for work with students whose English proficiency is limited and students with disabilities. The certificates are in various stages of research and development and will become available over the next four years. The first seven certificates — in early childhood/generalist; middle childhood/generalist; early adolescence/generalist; early adolescence/English language arts; early adolescence and young adulthood/math; adolescence/science; and early adolescence and young adulthood/art — are now being offered, making the opportunity to study for certification available to about half of all American teachers. A total of 912 teachers have been certified by the board.

Twenty-three states have enacted legislation providing incentives and recognition to teachers who obtain board certification. Dozens of school districts nationwide are encouraging teachers to apply and are creating professional support mechanisms to help them prepare.

Major support is also provided by federal, corporate, and other foundation sources.

James A. Kelly, President, National Board for Professional Teaching Standards.

Teachers College, Columbia University, New York, NY. Implementation of recommendations from a commission on teacher development. Two years, \$418,000.

The report of the National Commission on Teaching & America's Future, *What Matters Most* (1996), urges higher standards for students and teachers, better teacher education and recruitment, restructured schools, and systems to reward teachers' expertise. The commission, based at Teachers College, Columbia University, is educating practitioners, policymakers, and the public about ways to implement the report. It is devising model legislation for presentation to state boards of education and professional groups and assisting efforts to redesign teacher training and foster professional development. It is also working with twelve states to create strategic plans that incorporate the recommendations. The Rockefeller Foundation cosponsored the commission.

Linda Darling-Hammond, Executive Director, National Commission on Teaching & America's Future.

Council of Chief State School Officers, Washington, DC. Support of the Interstate New Teacher Assessment and Support Consortium. Two years, \$450,000.

The Interstate New Teacher Assessment and Support Consortium helps states assess and license new teachers according to clear standards of what they should know and be able to do in different subjects. Thirty-nine states, the two largest teachers' unions, and national education groups participate in the consortium, a program of the Council of Chief State School Officers. Eighteen states have adopted or adapted the model standards to guide reforms of new-teacher licensing. In addition to publishing its work on licensing standards in mathematics, English/language arts, and science, the consortium is creating standards in elementary education and social studies/civics.

M. Jean Miller, Director, Interstate New Teacher Assessment and Support Consortium.

National Council for Accreditation of Teacher Education, Washington, DC. National system of teacher education accreditation. Two years, \$350,000.

The National Council for Accreditation of Teacher Education, a coalition of thirty organizations representing teachers, school specialists, and state and local policymakers, sets standards for teacher education. Through its New Professional Teacher Project, the council is attempting to create a national accreditation system founded on performance-based expectations for teacher preparation that correlate with the expectations and standards that are being developed for students. The initial focus is on teaching in the elementary grades. The council is also holding statewide forums for educators, policymakers, parents, and the general public to formulate plans for reforms in preparing and licensing teachers.

Arthur E. Wise, President, National Council for Accreditation of Teacher Education.

Recruiting New Teachers, Belmont, MA. Outreach and response programs. Two years, \$300,000.

Recruiting New Teachers aims to increase the public's respect for the teaching profession and to expand the pool of future teachers. Its direct-response advertising campaign has generated more than a million inquiries from prospective teachers, almost 40 percent of them members of minority groups. As part of its effort to enlist more people to teach in city schools, the organization is developing a self-assessment tool that urban districts can use to study and improve their recruitment, induction, and professional development practices. It is also updating its handbook on careers in teaching. The Pew Charitable Trusts, the Rockefeller Brothers Fund, and the Stuart Foundations provide additional funding.

David Haselkorn, President, Recruiting New Teachers.

University of Wisconsin, Madison, WI. Technical assistance to school districts in designing new teacher compensation plans and research documenting the process. Two years, \$300,000.

For standards-based education reforms to work, teachers must have the professional skills to teach a world-class curriculum to diverse student populations. Today's teachers, however, rarely receive compensation, such as pay contingent on pursuing professional development, or group performance awards, linked to these skills. The Consortium for Policy Research in Education is a network of university-based centers that conduct research aimed at strengthening American public precollegiate education. Professors at two of the centers — the University of Wisconsin and the University of Pennsylvania — are designing and implementing new teacher compensation structures for four school districts across the nation. They will produce detailed case studies.

Allan Odden, Professor of Educational Administration, University of Wisconsin.

Puerto Rican Legal Defense and Education Fund, New York, NY. Education Rights Project. Three years, \$450,000.

Most Puerto Rican and other Latino students in this country are educated in large school systems that are ethnically and economically segregated. Schools in these systems tend to have relatively inexperienced teachers and low-quality programs and are often crowded. The Puerto Rican Legal Defense and Education Fund attempts, through its Education Rights Project, to make high-quality education available to students in such schools. The fund is devising an education desegregation plan for Hartford, Connecticut. It is also investigating whether New York City's major education reforms — including higher standards and new small, thematic schools — provide equal opportunities for Latinos. Further support comes from other foundations.

Juan A. Figueroa, President and General Counsel, Puerto Rican Legal Defense and Education Fund.

University of California, Oakland, CA. Evaluation of a writing, mentoring, and academic counseling program for Hispanic high school students. Eighteen months, \$162,400.

The Puente Project was founded to help Hispanic students transfer from community colleges to four-year institutions. Puente now runs a pilot program, operating in eighteen California high schools, that aims to increase the number of Hispanic students who graduate from high school and go on to earn college degrees. Each school is served by an English teacher, a counselor, and a liaison to the community who recruits and trains Hispanic professionals to become mentors. As part of an evaluation of Puente, University of California researchers are studying students' attendance and retention in school, grade point average, and college enrollment. They are also assessing the effects of refinements in the mentoring program.

Patricia McGrath or Felix Galaviz, Codirectors, Puente High School Pilot Program, University of California.

GENERAL

Aspen Institute, Queenstown, MD. Public policy project to promote the well-being of children. One year, \$400,000.

The Aspen Institute's Children's Policy Forum brings members of Congress together with scholars and practitioners to examine the problems of America's children and youth. Its meetings and an annual retreat are designed to inform a core group of legislators about selected issues so that they can help shape public policy for children. A 1996 retreat on preparing youth for the twenty-first century addressed family life, citizenship, international comparisons of education, and business perspectives on the needs of the future workforce. The 1997 retreat explored the developmental needs and problems of children ages three to ten.

Dick Clark, Director, Congressional Program, Aspen Institute.

Harvard University, Cambridge, MA. Creation of a children's studies program. Two years, \$1,000,000.

Improving the lives of children in the United States will require access to the knowledge and insights of many professions and academic areas. It will also require partnerships of universities, schools, and community-based institutions. Harvard University's new interdisciplinary Children's Studies Program aims to draw increased academic and professional attention to the needs of children, encourage faculty members and students to devote their talents to children, and mount effective university-community efforts on behalf of children. Leaders of the program include professors of pediatrics, psychiatry, health policy, government, law, education, and religion.

Undergraduate and graduate-level courses, a fellowship program, research grants, faculty seminars, and universitywide events are being developed at Harvard around three themes: the conditions that foster or impede children's resilience in the face of adverse circumstances; the influence of ethnicity, race, and gender on children's aspirations and behavior; and the social and cultural roots of the public discourse about children that in turn influence social policies.

These themes also underlie efforts to strengthen existing links between Harvard faculty and students and more than 100 programs — including school-based health services, family support centers, legal clinics, literacy and reading projects, and social skills development and violence prevention programs — in the Boston area. The directors of the Children's Studies Program are conferring with mayors, school and health officials, and community leaders in Boston, Cambridge, and neighboring cities on ways to increase the effectiveness and sustainability of these partnerships. They are also identifying possibilities for creating other collaborative activities to benefit children.

Martha Minow, Professor of Law, Harvard Law School.

American Forum, Washington, DC. Production and dissemination of media packets on public policy issues affecting children and families. Two years, \$180,000.

At a time when news outlets depend on wire services for information of national interest, the American Forum produces media packets of articles on issues that are tailored to conditions in the South. The packets are used by newspapers and radio and television stations to fill gaps in news coverage, write editorials, and prepare public service announcements. The forum is producing fifty-four packets on topics concerning children and families, developing a Web site to serve as an online wire service, and expanding to the Midwest. It is also surveying the authors of its articles and its media contacts to assess the materials' effectiveness. The forum receives further support from other foundations.

Denice Zeck, Executive Director, American Forum.

New York Academy of Medicine, New York, NY. Center for urban epidemiologic studies. Two years, \$250,000.

The Center for Urban Epidemiologic Studies, based at the New York Academy of Medicine, is a consortium of six academic medical centers, the city's health department, and other institutions dedicated to improving the health and well-being of disadvantaged young people and their families in New York. Among the center's research projects are studies of asthma among children and the effectiveness of HIV prevention strategies. A conference on asthma in the urban environment and a symposium on setting priorities for urban health were held in 1997. Support also comes from the Centers for Disease Control and Prevention, the New York State Department of Health, corporations, and other foundations.

Ezra S. Susser, Director, Center for Urban Epidemiologic Studies.

Teachers College, Columbia University, New York, NY. Fred M. Hechinger Institute on Education and the Media. Two years, \$300,000.

Fred M. Hechinger, an education writer for the *New York Times* and a trustee of and senior advisor to the Corporation, had an abiding interest in the role of education in shaping individuals and the nation. When he died in 1995, he was a trustee of Teachers College, Columbia University. The college's new Hechinger Institute on Education and the Media holds seminars for education reporters, editors, and producers to examine the social context of education and to address topics relevant to educational policymaking. It also brings together educators and journalists to improve press coverage of educational issues. Other foundations provide additional funding.

Gene Maeroff, Director, Fred M. Hechinger Institute on Education and the Media.

National Council of La Raza, Washington, DC. Task force on education policy for Hispanic children. One year, \$100,000.

The National Council of La Raza operates community-based projects that bring together parents, teachers, and business leaders to help Hispanic young people succeed in school. An Education Policy Task Force of council board members, representatives of council affiliates, outside experts, and practitioners is developing a new public policy agenda for education. The task force is analyzing programs and policies — including educational standards, school choice, and early childhood programs — and assessing their potential for producing sustainable improvements in educational outcomes for Hispanic students. Its findings will be incorporated in a variety of council publications.

Charles Kamasaki, Senior Vice President, National Council of La Raza.

Children Now, Oakland, CA. Conferences on children and the media. One year, \$125,000.

Children Now works with members of the media industry to improve news coverage of issues affecting children and their families. It organizes an annual meeting that brings together leaders from the print and broadcast media, children's advocates, and policymakers to produce recommendations on enhancing the treatment of children's issues. The most recent meeting explored the depiction of girls in entertainment media. The program also briefs media leaders on current research regarding children's issues — for example, findings on the effects of poverty and of changes in welfare policies on the well-being of children and their families. Other foundations provide additional funding.

Meeghan E. V. Prunty, Director, Children and the Media Program, Children Now.

Center for Media Education, Washington, DC. Public education and advocacy on behalf of children's interests in the electronic media. Two years, \$400,000.

The Center for Media Education conducts research, coalition building, and public education on the quality of electronic media for children and on telecommunications policies and regulations and their effects on children. Under grants from the Corporation and other foundations, the center is helping child advocacy groups in twelve states ensure universal access to computers, whether in homes or at community centers, public libraries, and schools. It is monitoring compliance with Federal Communication Commission rules that require television stations to air at least three hours a week of educational programming for children during prime-time hours. It is also organizing support for safeguards against online advertising and program-related marketing of products to children.

Kathryn C. Montgomery, President, or Jeffrey A. Chester, Executive Director, Center for Media Education.

Lawyers for Children, Hartford, CT. Advocacy on behalf of abused children and mediation efforts to prevent violence among children and youth. One year, \$100,000.

Lawyers for Children was established in 1995 to involve lawyers in corporate or private practice as advocates for children. Its focus is on two subjects: child abuse and youth-on-youth violence. In the first area, lawyers are trained to represent abused or neglected children in court proceedings. In the second area, lawyers receive training in conflict resolution and peer-based mediation and go on to teach these techniques to middle school faculty and student mediators. In addition to creating a nationwide network of local affiliates, Lawyers for Children is collaborating with the Yale Child Study Center to develop a training curriculum and provide consultations for participating lawyers.

Lesley D. Mara, Executive Director, Lawyers for Children.

DISCRETIONARY GRANTS

Alliance for Young Families, Boston, MA
Toward evaluation of adolescent health services in Massachusetts, \$25,000

American Association for the Advancement of Science, Washington, DC
Toward outreach activities for a children's science radio program, \$25,000

Association of Science-Technology Centers Incorporated, Washington, DC
For research on preservice teacher training partnerships among science museums, institutions of higher education, and schools, \$25,000

University of California, Berkeley, CA
Toward planning a center on educational research on diversity and school reform, \$25,000

Columbia University, New York, NY

For dissemination of reports on the future of American social policy, \$14,300

Families and Work Institute, New York, NY

Toward publications and dissemination of a report on brain research and early childhood development, \$25,000

Fordham University, Bronx, NY

Toward a national meeting on community schools, \$10,000

GlobaLearn, New Haven, CT

For evaluation and evaluation design of interactive educational expeditions for students and teachers on the World Wide Web, \$15,900

Los Angeles Educational Partnership, Los Angeles, CA

Toward support of a program to improve science education in the Los Angeles public schools, \$25,000

Marylhurst College, Marylhurst, OR

For preparation and dissemination of science curriculum materials for Head Start teachers, \$25,000

Mathematical Association of America, Washington, DC

Toward development of a network to expand intervention projects in mathematics for minority students in middle and high school, \$25,000

University of Minnesota Foundation, Minneapolis, MN

Toward support of the Jane Goodall Institute's Center for Primate Studies, \$22,000

Montefiore Medical Center, Bronx, NY

As a final grant toward the School Health Policy Initiative, \$25,000

National Academy of Sciences, Washington, DC

Toward a planning meeting on safety and security of adolescents, \$25,000

National Academy of Sciences, Washington, DC

Toward a symposium on science education reform, \$25,000

National Conference of State Legislatures, Denver, CO

For a project on the relevance of new research on early childhood development for state legislatures, \$25,000

National Governors' Association Center for Best Practices, Washington, DC

Toward a meeting for state policymakers on meeting the needs of young children, \$25,000

National Indian School Board Association, Polson, MT

For planning further reforms in Indian schools, \$25,000

National Institute for Dispute Resolution, Washington, DC

For a conference for educators in conflict resolution and bias reduction, \$25,000

National Middle School Association, Columbus, OH

For development of public education materials on middle school reform, \$24,000

New England Medical Center, Boston, MA

Toward dissemination of a career awareness program for middle grade school students, \$25,000

New York University, New York, NY

For planning education reform strategies for preschools and elementary schools, \$25,000

New York University, New York, NY

For education reform strategies for preschools and elementary schools, \$25,000

Laura Sessions Stepp, Arlington, VA

Toward research and writing on parents and young adolescents in the United States, \$25,000

Preventing Deadly Conflict

In the post-Cold War world, ethnic, nationalist, and religious enmities, both within and between states, pose a grave threat to global security. They also present new and formidable challenges to governments and to multilateral organizations often charged with resolving them. The dangers are heightened in situations where the hatreds and fears of groups are exploited in violent ways by political opportunists or where possession of nuclear, chemical, and biological weapons has the potential for menacing the lives of millions.

Under its program, Preventing Deadly Conflict, the Corporation supports independent research and discussion among scholars, policymakers, and informed members of the public to examine major interstate and intrastate conflicts and to advance ideas for their prevention or enduring resolution. This work is carried out under the subprogram, *preventing mass intergroup violence*, in close cooperation with the Carnegie Commission on Preventing Deadly Conflict, a study group of the foundation whose final report was released in December 1997.

Fundamental questions explored in this subprogram include the origins of conflicts, the conditions that deter or encourage their deadly outbreak, the conflicts that are most likely to escalate into violence and lawlessness, and the functional requirements for an effective system of prevention. Funded projects include research on ways to reconcile tensions between group rights and individual rights, analyses of the media's

role in reporting responsibly on conflicts and helping to defuse them, and efforts to inform those living in conflict-prone areas about the concepts, techniques, and institutions of conflict resolution.

The Corporation is also examining ways of *strengthening democratic institutions* in the former Soviet Union and Eastern and Central Europe, where ethnic and nationalist conflicts pose especially ominous threats to international stability. Support is given for efforts to create and undergird democratic institutions in the nations of this region; to build elements of a civil society in the Soviet successor states; and to increase the effectiveness of Western responses to the threat of disintegration or destabilization in the new states.

In the subprogram on *cooperative security and nonproliferation*, the Corporation supports policy research and the interaction of scholars and policymakers toward developing a strong international security strategy. Such a strategy would be based on principles of cooperation rather than competition, integration rather than isolation, and transparency rather than secrecy. Primary emphasis is placed on encouraging more robust efforts by the United States, Russia, and other nations to curb the spread of advanced weaponry and weapons technologies that threaten to raise the stakes dangerously in regional or intrastate conflicts.

Grantmaking will continue in these three subprogram areas during the Corporation's review of its current programs. Staff members will pay particular attention to elements of the final report of the Carnegie Commission on Preventing Deadly Conflict that offer compelling opportunities for grantmaking in the future.

Carnegie Commission on Preventing Deadly Conflict, Washington, DC. Appropriation administered by the officers of the Corporation. One year, \$3,345,000.

Approximately seventy actual or emerging ethnic, nationalist, territorial, and religious conflicts exist throughout the world today. In their intensity and number, they have the potential to threaten world peace and have left international organizations struggling to find effective ways of responding.

To address the looming threats to world peace posed by mass intergroup violence and to advance new ideas toward the prevention and resolution of deadly strife, the Corporation in 1994 established the Carnegie Commission on Preventing Deadly Conflict. Corporation president emeritus David A. Hamburg and former U.S. secretary of state Cyrus R. Vance are co-chairs; political scientist Jane E. Holl is executive director.

The commission members — sixteen international scholars and policy practitioners — have met quarterly over three years, pursuing three main avenues of inquiry. First, they have determined what differentiates the deadly conflicts of the 1990s, both between and, more commonly, within states, from those of other periods in history. They have also identified the roles that international institutions, regional organizations, individual states, and ad hoc coalitions can play in preventing mass violence. Finally, they have considered what blend of political, military, economic, social, and other tools are, or should be, at the disposal of these institutions.

The commission's work is expected to result in eight commercially published books and twenty-five reports. The final report, *Preventing Deadly Conflict*, was released in December 1997. As part of an extensive two-year outreach program, individual commissioners are delivering the report to their respective parliaments and are making presentations to the editorial boards of major international newspapers and to international conferences.

David C. Speedie, Program Chair, Preventing Deadly Conflict, Carnegie Corporation of New York.

Council on Foreign Relations, New York, NY. Support for the Center for Preventive Action. Eighteen months, \$600,000.

The mission of the Council on Foreign Relations' Center for Preventive Action is to enhance prospects for resolving interstate and intrastate conflicts before they escalate to violence. Working groups of experts in several disciplines conduct case studies of preventive action by visiting areas of conflict and producing reports on mitigating steps that might be taken. Studies are under way in Burundi, Nigeria, the South Balkans, and the Fergana Valley in Central Asia. Through an annual conference, the series *Preventive Action Reports*, and a library, the center serves as a clearinghouse of information on groups working to prevent and resolve conflict. Funding also comes from the Twentieth Century Fund.

Barnett R. Rubin, Director, Center for Preventive Action, Council on Foreign Relations.

University of California, Los Angeles, CA. Project on creating a coalition of states to prevent deadly conflict. Two years, \$500,000.

Scholars at the Center for International Relations at the University of California, Los Angeles, are studying the economic and normative requirements for creating "encompassing coalitions," which comprise various states that are united by the intent to prevent deadly conflict. In analyzing cases from Asia, Europe, and South America, the researchers are assessing the role of economic incentives and of status incentives — for example, membership in a prestigious international organization. They are also exploring the communication and institutionalization of such norms as military and defense transparency in altering the behavior of states. Findings will be presented in published materials, briefings for policymakers, and outreach programs for students and others.

Richard N. Rosecrance, Director, Center for International Relations.

National Endowment for Democracy, Washington, DC. Support for the International Forum for Democratic Studies. Two years, \$250,000.

The National Endowment for Democracy is a non-partisan grantmaking agency established in 1983 by U.S. Congressional mandate. Through a resource center, the *Journal of Democracy*, and a visiting fellows program, the endowment's International Forum for Democratic Studies serves as a center for analyses of the theory and practice of democratic transition and consolidation worldwide and as a clearing-house for information about democratization. Meetings in 1997 and 1998, funded also by the Smith Richardson and the Lynde and Harry Bradley foundations, address the future of democracy, the creation of organizations that provide democratic assistance, ways of combating abuses of power, and roles for local governments in promoting democracy.

Marc F. Plattner, Codirector, International Forum for Democratic Studies.

Institute for Foreign Policy Analysis, Cambridge, MA. Project on European security institutions, organized jointly with Tufts University. Two years, \$300,000.

Senior scholars at the Institute for Foreign Policy Analysis and the Fletcher School of Law and Diplomacy at Tufts University are studying how major multilateral institutions are collectively adapting to the security challenges of the post-Cold War era. They are analyzing the European Union, NATO, and the P-8 (the seven major industrial democracies and Russia) and their responses to terrorism, narcotics trafficking, and international crime; irredentism and interethnic violence; and threats from economic insecurity in states on Europe's periphery and beyond. Their recommendations will figure in debates over the U.S. Senate's ratification of NATO expansion.

Robert L. Pfaltzgraff, President, Institute for Foreign Policy Analysis.

Institute for EastWest Studies, New York, NY. Project on subregional security and cooperation. One year, \$250,000.

Several subregional organizations in Eastern and Central Europe were founded in the early 1990s to promote economic and social cooperation. In 1996 the Institute for EastWest Studies launched a comparative study of the groups' potential for enhancing European security. The institute is continuing this work by advising the European Union, the West European Union, the Organization for Security and Cooperation in Europe, and NATO on their evolving subregional policies. The aim is to explore ways in which three of Europe's conflict-prone areas — the western part of the former Soviet Union, its southern tier, and the former Yugoslavia — can cooperate with each other and attain closer integration with Europe.

Dag Hartelius, Vice President, European Security Programme, Institute for EastWest Studies.

United Nations Institute for Training and Research, Geneva, Switzerland. Program in peacemaking and preventive democracy. Two years, \$150,000.

In 1993 the United Nations Institute for Training and Research, in cooperation with the International Peace Academy, created the Fellowship Programme in Peacemaking and Preventive Diplomacy. The program teaches mediators and diplomats how to analyze international disputes, understand international negotiation, and practice negotiating and mediating skills. Components include a two-week core course of study and research, including fieldwork, on specific cases. Thirty-five men and women participated in 1997. Additional funding comes from the governments of Austria and Switzerland and the William and Flora Hewlett Foundation.

Connie Peck, Coordinator, Fellowship Programme in Peacemaking and Preventive Diplomacy, United Nations Institute for Training and Research.

Voice of America, Washington, DC. Conflict resolution initiative. One year, \$100,000.

The Voice of America (VOA), a branch of the United States Information Agency, in 1995 launched a conflict resolution initiative to reach 100 million listeners in fifty-two languages. More than 200 stories with conflict resolution themes have been broadcast in countries where violent conflict has erupted or is likely to occur. A core conflict resolution series in the Balkans, Central Asia, and South Asia explores multilateral efforts to combat hatred and the role of political and religious elites in promoting or preventing violence. These analyses will be complemented by reporting from journalists working on the ground. VOA held a conference in October 1997 to examine further the role of radio in conflict.

Gregory Alonso Pirio, Senior Development Manager, Voice of America.

Cornell University, Ithaca, NY. Study of interethnic conflict. One year, \$75,000.

Since 1994 Valerie J. Bunce of Cornell University and Shibley Telhami, now at the University of Maryland at College Park, have analyzed the interaction between domestic and international politics in ethnic and nationalist conflict. Two books and two workshops will complete their work. One book will pursue the hypothesis that U.S. foreign policy increasingly reflects grassroots politics. A second book will compare the breakup of Czechoslovakia, the Soviet Union, and Yugoslavia and will examine the reasons why the first two were peaceful while the third was accompanied by mass violence. One workshop will consider interethnic relations and domestic stability; the other will deal with ethnicity and foreign policy in the Middle East.

Valerie J. Bunce, Codirector, Institute for European Studies, Cornell University, or Shibley Telhami, Anwar Sadat Chair for Population, Development and Peace, University of Maryland.

Conflict Management Group, Cambridge, MA. Project on managing ethnic conflict within the former Soviet Union. One year, \$250,000.

Conflict Management Group is an international organization that offers governments and nongovernmental organizations training and consultations in negotiation and conflict resolution. The group's Project on Ethnic Conflict Management in the Former Soviet Union incorporates the electronic Network on Ethnological Monitoring and Early Warning of Conflict, which links twenty-eight regular users over thirty-three sites in the successor states. The project's Hague Initiative brings together regional political and ethnic leaders from Russia, Ukraine, Moldova, and Georgia to discuss the relationship between central and regional governments. Further funding comes from public and private sources.

Bruce J. Allyn, Program Director, Conflict Management Group.

Columbia University, New York, NY. Research on evaluating the strategies of nongovernmental organizations to promote democracy and prevent conflict in the former Soviet Union. Twenty-seven months, \$200,000.

Hundreds of nongovernmental organizations are engaged in projects to promote democracy and prevent deadly conflict in the former Soviet Union. Researchers at Columbia University's Institute of War and Peace Studies and its Harriman Institute have launched a project to assess the effectiveness of these activities. At a May 1997 conference, experts and practitioners produced guidelines for evaluating strategies for democratization and conflict prevention. Project team members are now conducting field research to determine the effectiveness of NGO projects, and their underlying strategies, in the successor states. The results of the studies will be published in reports, journal articles, and a book.

Jack L. Snyder, Director, Institute of War and Peace Studies, Columbia University.

Partners for Democratic Change, San Francisco, CA. Project to develop ethnic conciliation commissions in Central and Eastern Europe. One year, \$50,000.

In 1996 Partners for Democratic Change, which pursues grassroots solutions to ethnic, national minority, and religious conflicts in Central and Eastern Europe, created ethnic conciliation commissions in Bulgaria, the Czech Republic, Hungary, and Slovakia. The commissions are permanent institutions where groups may address social, economic, and political concerns that lie behind intergroup conflict. Their members are local leaders trained by the Partners' field offices in negotiation and mediation. Commissioners build caseloads by giving presentations at community meetings and by developing referrals from minority leaders, police, and the courts. Support also comes from the Charles Stewart Mott Foundation.

Raymond Shonholtz, President, Partners for Democratic Change.

Center for Political and Strategic Studies, Chevy Chase, MD. Project on Central Asia and the Transcaucasus in the post-Cold War era. Eighteen months, \$250,000.

When the Soviet Union collapsed in 1991, prospects for peace among Kazakstan, Uzbekistan, Kyrgyzstan, Tajikistan, and Turkmenistan seemed dim. Yet, except for the civil war in Tajikistan, Central Asian stability is growing. The Center for Political and Strategic Studies, formerly the Center for Post-Soviet Studies, is comparing the region's transition from Soviet rule with that of the Transcaucasian nations of Georgia, Azerbaijan, and Armenia, where severe tensions remain. Through meetings with regional experts and by examining published sources, scholars are studying religion, political change, nationalism, language, and the legacy of Soviet military intervention. They are also analyzing types of regional cooperation that have worked in Central Asia but not in the Transcaucasus.

Roald Z. Sagdeev, Senior Associate, Center for Political and Strategic Studies.

University of Maryland, College Park, MD. Project on conflict resolution in the Transcaucasus and Central Asia. One year, \$100,000.

In 1995 the Center for International Development and Conflict Management at the University of Maryland launched its Partners in Conflict project, which has recruited and trained eight scholars from Georgia, Armenia, and Azerbaijan. After taking courses in conflict resolution, democracy, and human rights, the scholars have returned home to set up conflict management centers, publish articles, and speak on radio programs. They communicate with each other through electronic mail and have access to other conflict resolution networks. The center, also funded by the Winston Foundation, will assess their activities and present the results in three working papers.

Barri S. Sanders, Project Director, Center for International Development and Conflict Management.

Harvard University, Cambridge, MA. Working group on Israeli-Palestinian relations. One year, \$75,000.

The Joint Working Group on Israeli-Palestinian Relations, convened under the auspices of Harvard University's Program on International Conflict Analysis and Resolution, has a membership of politically and intellectually influential Israelis and Palestinians. The group addresses such issues in the Mideast peace process as Jewish settlements in the West Bank and Gaza, Palestinian refugees, and the interim agreement signed by Israel and the Palestinian Liberation Organization. Deliberations and research lead to working papers for scholars and policymakers. The efforts are an example of Track II diplomacy, which provides a forum for examining problems and options that official negotiators might be constrained from exploring openly.

Herbert C. Kelman, Director, Program on International Conflict Analysis and Resolution, Center for International Affairs.

Yale University, New Haven, CT. Publication of the papers of the secretary-general of the United Nations 1992–96, Boutros-Ghali. Two years, \$100,000.

During the Cold War, the strategic contest between the superpowers marginalized the United Nations' role in maintaining global security. In the 1990s, in contrast, the UN has led attempts to resolve several international crises — the collapse of governance in Somalia, the breakup of the former Yugoslavia, threats to democratization in Haiti, and genocide in Rwanda. It has also addressed nonproliferation and economic development. Yale University scholars are researching Secretary-General Boutros Boutros-Ghali's public and nonpublic documents and his reports to the Security Council. Selections that explain the legal and political transformation of world affairs will be published in two volumes. The UN's publication fund also provides support.

Charles Hill, Diplomat-in-Residence and Lecturer in International Studies, Yale Center for International and Area Studies.

Search for Common Ground, Washington, DC. Project on conflict resolution and negotiation in Macedonia. One year, \$50,000.

Search for Common Ground, which works to prevent mass violence around the world, has a field office in Macedonia that aims to help the former Yugoslav republic resolve its ethnic disputes peacefully. Staff members of the Macedonia project conduct conflict resolution training for law students and, as part of a plan to introduce a conflict resolution curriculum in the nation's schools, mediation training for teachers. A fellowship program operated with New York University's Center for War, Peace, and the News Media brings together radio journalists for collaborative cross-ethnic investigative reporting. Additional funding comes from the Soros Foundation and bilateral and multilateral sources.

Eran Fraenkel, Executive Director, Search for Common Ground in Macedonia.

Institute for Multi-Track Diplomacy, Washington, DC. Series of conflict resolution meetings for public policy leaders in Cyprus. Fourteen months, \$75,000.

Since 1964 a United Nations peacekeeping force in Cyprus has served as a buffer between the Turkish Cypriot north and the Greek Cypriot south. The Institute for Multi-Track Diplomacy has led a consortium of nongovernmental organizations in training Greek and Turkish Cypriots in conflict resolution. Its study group of journalists, politicians, educators, business people, and other opinion leaders and decision makers from both communities is analyzing conflicts once considered intractable — including those in South Africa and the Middle East — and will draw conclusions that might be applied to the conflict in Cyprus.

Louise Diamond, Executive Director, Institute for Multi-Track Diplomacy.

STRENGTHENING DEMOCRATIC INSTITUTIONS

Harvard University, Cambridge, MA. Programs with Russian military personnel and policymakers on foreign and security policies. One year, \$325,000.

Two programs organized by Harvard University's John F. Kennedy School of Government promote dialogue between Russian and U.S. officials. A program for general officers of the Russian Federation, also funded by the U.S. Department of Defense, offers contacts and workshops on economic, political, and foreign policy issues at a time when morale in Russia's armed forces is low and resources are limited. A program of lectures on political party formation, budgeting, and lawmaking helps members of the Russian Duma better understand democratic governance. The Russian participants give presentations as well, on economic and security issues.

Robert D. Blackwill, Lecturer in Public Policy, John F. Kennedy School of Government.

Harvard University, Cambridge, MA. Project on strengthening democratic institutions in the former Soviet Union. Two years, \$850,000.

The mandate of Harvard University's Strengthening Democratic Institutions Project is to conduct research and provide technical assistance in the Soviet successor states as they struggle to make the transition to sustainable democracy, free-market economies, and cooperative international relations. In addition to Russian democratization, the project's current focus is on Russian security and on ethnic conflict in the new states. The aims of these three strands, respectively, are to bring expertise to bear on issues of privatization, democratization, denuclearization, constitutional and legal reform, and conflict prevention; to enhance Western understanding of current issues in Russian security; and to formulate prescriptions for action by international organizations in preventing ethnic conflict in the new states.

Among other issues, staff members are analyzing the development of political parties in Russia and monitoring Russian regional legislative and gubernatorial elections. Lessons will be culled from the experience of multiparty systems outside the United States and communicated to Russian political elites.

Research in the security field includes an exploration of the effects of continued deterioration of Russia's military. Staff members are also organizing a conference to address the policy implications of various perspectives on Russia's national identity. An edited volume of essays representing these points of view will be distributed to the project's network of policymakers, scholars, and journalists in the United States and in Europe.

In their work on ethnic conflict, project staff members are holding a seminar series and producing research reports, briefing materials, and opinion pieces. The focus is the North Caucasus, which encompasses Chechnya.

Graham T. Allison, Director, Belfer Center for Science and International Affairs, and Douglas Dillon Professor of Government, John F. Kennedy School of Government.

Aspen Institute, Queenstown, MD. Support of the international activities of the Congressional Program. One year, \$750,000; six months, \$55,000.

In 1986 Dick Clark, former U.S. senator and a senior fellow at the Aspen Institute, launched a series of bipartisan conferences and smaller meetings for congressional leaders on relations between the United States and the Soviet Union. Following the end of the Cold War, the project evolved to include U.S. policy toward the successor states and the new democracies of Eastern Europe. The aim is to help members of Congress bridge the gap between the scholarly analysis of foreign policy issues and the political realities of dealing with these issues as an elected official. Participants also include parliamentarians from Russia, Ukraine, and nations in Western and Eastern Europe.

A second series of conferences, for members of Congress and the Russian Duma, was instituted in 1995. One goal of the series is to promote an understanding among American policymakers of the importance of continuing a deeper engagement with their Russian counterparts. The other goal is to foster a collegial dialogue on critical policy issues among the factions in the Duma and thus to strengthen that institution's credibility.

To date the institute has held nineteen major conferences and thirty-three interim meetings. More than a hundred members of Congress have attended. One 1997 conference, focusing on the U.S. relationship with Russia, Ukraine, and the nations of Western and Eastern Europe, brought U.S. scholars and members of Congress together with their counterparts from those countries. Supplemental Corporation funding permitted the addition of a fourth day for a presentation of the interim findings of the Carnegie Commission on Preventing Deadly Conflict (see p. 47). At another 1997 conference, members of Congress and the Duma discussed the U.S.-Russian relationship and the difficulties in shaping responsible foreign and domestic policy at a time when public opinion in both countries is marked by antigovernment sentiment.

Dick Clark, Director, Congressional Program, Aspen Institute.

Aspen Institute, Queenstown, MD. Discussions between U.S. and Russian policymakers conducted by the Aspen Strategy Group. Two years, \$518,000.

The Aspen Strategy Group, a standing committee of the Aspen Institute, has launched a program that enables the United States and Russia to address contentious security-policy issues before they become critical. In partnership with the Moscow-based Council on Foreign and Defense Policy, the group is organizing a team of U.S. and Russian private citizens with expertise in foreign and security policy. Members will discuss obstacles to international weapons-control agreements, the safety of U.S. and Russian inventories of nuclear weapons and fissile materials, and third-country issues in U.S.-Russian relations. Reports of the meetings will be issued in English and Russian and made available on line.

Robert Zoellick, Director, Aspen Strategy Group.

RAND, Santa Monica, CA. Collaborative research and training programs for policy analysts in Russia. Fifteen months, \$300,000.

Since 1994 Corporation funds have enabled RAND to collaborate with two independent Russian research centers that produce analyses for policymakers in Moscow and the regional capitals. The Center for Ethnopolitical and Regional Research analyzes sociopolitical changes in the Russian republics and the likely impact of these changes on relations among the republics. The Center for Demography and Human Ecology monitors and forecasts demographic trends in Russia. RAND scholars assist both centers by offering training in research methodology and by conducting joint studies and briefing central and regional policymakers on the results. Published reports and proceedings of summary conferences are issued in Russian and English.

Jeremy R. Azrael, Director, Center for Russian and Eurasian Studies, RAND.

University of California, Berkeley, CA. Research project on prospects for stability or disorder in Russia. Two years, \$250,000.

Some observers argue that Russia is on a path to social disorder, institutional disintegration, and economic ruin. Others point to an emerging middle class and viable new institutions as positive counterweights to instability. University of California scholars Victoria E. Bonnell and George W. Breslauer are leading an examination of current trends and the strengths and weaknesses in Russia's major institutions and sectors. The study encompasses the state of legal reform, the military, economic elites, organized crime, public opinion, and nationalism. A multi-authored volume will consider several possible outcomes of the economic and political transformations under way.

Victoria E. Bonnell, Chair, Center for Slavic and East European Studies, or George W. Breslauer, Chair, Berkeley Program in Soviet and Post-Soviet Studies, University of California.

Council on Foreign Relations, New York, NY. Study of political, economic, and social change and international relations in the post-Cold War era. Two years, \$150,000.

The Council on Foreign Relations' East-West Project studies the effects of domestic developments in the former Soviet bloc countries on relations with the West. Four books of essays are being produced. Two volumes — analyses of Russia's foreign policy and of the potential for conflict created by cross-border movements of Hungarians, Russians, Serbs, and Albanians — continue the project's focus on Europe. Two volumes consider, respectively, the future of China and the fate of India's founding principles of secularism, socialism, democracy, and nonalignment. All four books are being written for journalists, policymakers, academics, and interested citizens.

Michael E. Mandelbaum, Director, East-West Project, Council on Foreign Relations.

New York University, New York, NY. Media assistance program in the Russian Federation. One year, \$250,000.

New York University's Center for War, Peace, and the News Media, in association with the Moscow-based Institute for USA and Canada Studies, established the Russian-American Press and Information Center (RAPIC) in 1992. RAPIC, also supported by other foundations, U.S. federal agencies, and U.S. and Russian corporations, operates in six regional offices in Russia. Through briefings, seminars, publications, and training, it helps journalists cover elections, market economics, and ethnic conflicts. RAPIC also addresses issues facing journalists and media managers, including financial management, codes of ethics, and new broadcast technologies.

Robert Karl Manoff, Director, Center for War, Peace, and the News Media, New York University.

International Research and Exchanges Board, Washington, DC. Technical assistance in computer telecommunications for projects between the United States and the former Soviet Union. Thirteen months, \$105,000.

The International Laboratory VEGA was established with Corporation assistance to develop the telecommunications infrastructure of Russian research institutes. Its main aim is to enhance collaboration and information exchange among scientists and other scholars within the successor states and abroad. The laboratory also works with staff of the Network on Ethnological Monitoring and Early Warning of Conflict (see p. 49), overseeing operational needs, training users, and ensuring access to the Internet. Since 1993 VEGA has been a project of the International Research and Exchanges Board, which has offices in Moscow.

Daniel C. Matuszewski, President, International Research and Exchanges Board.

Financial Services Volunteer Corps, New York, NY. Assistance and training in the development of free-market financial institutions in the former Soviet Union. One year, \$75,000.

The Financial Services Volunteer Corps brings U.S. business leaders to Russia and other former Soviet states to consult on the creation of viable market economies. Serving on a pro bono basis, these bankers, lawyers, accountants, and other professionals draft regulations, train bank managers, advise policymakers, and help develop financial services. The corps is continuing its efforts to strengthen the capabilities of the central banks and to assist parliaments in creating workable regulatory environments for national economies. It is also extending its work to the private sector and to regional centers in Russia and in other states. Other funders include the U.S. Agency for International Development and the Andrew W. Mellon Foundation.

J. Andrew Spindler, Executive Director, Financial Services Volunteer Corps.

Harvard University, Cambridge, MA. Project to strengthen democratic leadership in Eastern and Central Europe. Nineteen months, \$75,000.

Under Communist regimes of Eastern and Central Europe, women parliamentarians existed but never acquired influence or power. Today, women in the former Eastern bloc countries find their concerns neglected in policymaking. Harvard University's Project Liberty encourages women's organizations in North America and abroad to form transatlantic networks. It also teaches women in various professions the skills needed to become effectively engaged in politics. Workshops cover the differing models of democracy; equal opportunity legislation, family policies, and affirmative action; coalition building; and dealing with the media. Support also comes from the European Union.

Shirley Williams, Director, Project Liberty, John F. Kennedy School of Government.

Brown University, Providence, RI. Conferences on the end of the Cold War, organized jointly with Ohio State University. One year, \$113,000.

Brown University's Thomas J. Watson Jr. Institute for International Studies and the Mershon Center at Ohio State University are holding two 1998 conferences on the end of the Cold War. Policymakers of the period and Russian and U.S. scholars will evaluate historical materials from the archives of both countries and examine competing explanations for the end of the Cold War. These include the West's "victory" through unrelenting military pressure on the Soviet Union; an increasingly costly arms race; and Mikhail Gorbachev's ideas about the economy and national security. Two books, written by American and Russian scholars, will analyze the explanations for and lessons of the Cold War and its resolution.

Thomas J. Biersteker, Director, Thomas J. Watson Jr. Institute for International Studies.

COOPERATIVE SECURITY AND NONPROLIFERATION

Harvard University, Cambridge, MA. Program on new approaches to Russian security. Two years, \$300,000.

The Program on New Approaches to Russian Security, based at Harvard University's Davis Center for Russian Studies and the Center for International Affairs, encourages innovative analyses of the societal, economic, and political forces that will ultimately shape Russia's national security interests. Through conferences and workshops in the United States and Russia, the program is developing a network of young scholars from both countries. They will initially address two topics: the role of the military in Russian security and Russia's security linkages with international and regional institutions. Working papers and policy briefs will be disseminated to scholars and policy analysts in the United States and beyond.

Celeste A. Wallander, Associate Professor of Government, Davis Center for Russian Studies.

Brookings Institution, Washington, DC. Research on the transformation of international relationships and its implications for international security. Two years, \$1,000,000.

Since 1990 scholars at the Brookings Institution have been developing a program of research and leadership education to explore the concept of cooperative security as a guiding principle for the post-Cold War world. They have defined cooperative security as a formal reliance on collaboration rather than confrontation between countries and the creation of political, economic, and security relationships that protect the integrity of borders and that provide transparency, mutual reassurance, safeguards, and means of verification to allies and former adversaries alike.

Brookings team members are now exploring ways that the United States could lead efforts to improve standards for the security and control of nuclear weapons and materials and to pursue an international arrangement for the clear, comprehensive accounting of weapons and fissionable material. They are also considering how to bring Russia and China into an inclusive international security arrangement. Finally, they are analyzing Brookings' recent case studies on unresolved conflicts in the Balkans, Sudan, and Somalia and on the contrasting outcome in South Africa. The aim is to advance an understanding of the characteristics of effective intervention in civil conflicts and further develop strategies for preventive action. As part of their research, they are using the Internet to conduct a worldwide dialogue among a group of institutes on relationships between security, economic development, social equity, and environmental issues.

The project, which receives additional support from the W. Alton Jones Foundation and the John D. and Catherine T. MacArthur Foundation, will result in books, occasional papers, articles in professional journals and public media, and a new Brookings series of policy briefs.

John D. Steinbruner, Senior Fellow, Brookings Institution.

Stanford University, Stanford, CA. Research and training in international security and arms control. Two years, \$2,000,000.

Stanford University's Center for International Security and Arms Control works at the intersection of science, technology, public policy, and international security. The efforts of its resident team — former policymakers, academics in a range of disciplines, and conflict resolution and prevention specialists — are augmented by a group of visiting fellows. Since the center's founding in 1983 to study the danger of nuclear war, security in northeast Asia, and the U.S.-Soviet relationship, it has adapted to new security challenges.

The center's Science Program has begun addressing ways in which technology might be brought to bear on issues of terrorism, internal conflicts, and United Nations peacekeeping operations. Current studies include an analysis of the technical and political issues associated with the proliferation of chemical and biological weapons and an examination of the possible effect of new information technologies on the ways in which future wars may be fought.

Under the center's General Research Program, scholars are studying regional security issues in the Asian-Pacific region, Russian nuclear security and proliferation issues, and the circumstances that lead states to acquire nuclear weapons. A new project on conflict prevention and resolution is examining the manipulation of nationalist sentiments for political gain, the effect of civil conflict on the process of democratization, the threat posed to regional security arrangements by interstate and intrastate conflicts, and the problems for outside intervention in internal conflicts.

Michael M. May or Scott Sagan, Codirectors, Center for International Security and Arms Control.

Harvard University, Cambridge, MA. Research at the Belfer Center for Science and International Affairs on international security. Two years, \$700,000.

Since 1995 scholars at Harvard University's Belfer Center for Science and International Affairs have been developing broad new concepts of international security and formulating policy recommendations on security issues. The center has published two books in the past year: one examining the security measures used to guard Russian nuclear materials and one summarizing the implications of internal conflicts for the international community. The research is being extended in three areas, the results of which will be produced in books, articles, and monographs and brought to the attention of U.S. policymakers.

In the area of democracy and peace, center scholars have three works in progress. One is an identification of the conditions favorable to the "democratic peace" hypothesis — that advanced democracies tend not to engage each other in conflicts. A second is an exploration of whether U.S. foreign policy should seek to promote democracy abroad and, if so, why. A third is a study of the hypothesis that many democratizing states undergo a volatile transition in which they tend to be relatively more likely to engage in war.

In the area of proliferation, the scholars are addressing the capabilities and incentives of terrorist groups seeking to acquire and use weapons of mass destruction. They are also examining the methods employed by governments to counter terrorism and preserve security and the consequences these methods may have for civil liberties. Additional topics include the U.S.-Russian nuclear relationship and the management of nuclear weapons policy in the U.S. and Russia.

The scholars' efforts in the area of internal conflict are focusing on how governments, especially in Asia, manage ethnic relations to prevent or contain intergroup conflict. They are also studying the causes and prevention of civil wars.

Graham T. Allison, Director, Belfer Center for Science and International Affairs, and Douglas Dillon Professor of Government, John F. Kennedy School of Government.

Massachusetts Institute of Technology, Cambridge, MA. Support of the Defense and Arms Control Studies Program. Two years, \$900,000.

The Defense and Arms Control Studies Program at the Massachusetts Institute of Technology enables some sixty social and physical scientists to apply technological perspectives to policy analysis. The program's working groups of faculty members, visiting scholars, and graduate students are now conducting four projects.

In an examination of ways to control the proliferation of weapons of mass destruction, the scholars are addressing how current U.S. efforts to develop and deploy ballistic missile defense systems pose a threat to prospects for further nuclear arms reduction, especially by the United States and Russia, and to the Nuclear Non-Proliferation Treaty. A second project concerns the possibility of exchanges among members of various professions and groups — clergy, physicians, nongovernmental organizations working on social welfare, and the military — to promote peace. In a third area, the researchers are studying the political and management lessons of the Cold War. They are considering the ways in which the U.S. government identified and confronted the Soviet threat, translated official assessments of the Soviet Union into policy, and successfully mobilized scientific, technological, and other resources. A fourth project entails the analysis of the causes of deadly conflict, the domestic constraints on U.S. humanitarian and peacekeeping activities, and the military requirements for effective interventions.

The results of the studies will be communicated in the program's journal, *Breakthroughs*, and through other scholarly publications, meetings with academics and policymakers, and a World Wide Web site. Support also comes from other foundations and from public and other private sources.

Harvey M. Sapolsky, Director, Defense and Arms Control Studies Program, Massachusetts Institute of Technology.

Stanford University, Stanford, CA, and **Harvard University**, Cambridge, MA. Research and writing on international security by William J. Perry and Ashton B. Carter. Thirteen months, \$136,000 (Stanford) and \$264,000 (Harvard).

William J. Perry, former secretary of defense, and Ashton B. Carter, former assistant secretary of defense for international security policy, articulated a post-Cold War strategy known as preventive defense. The objective is to draw the security leaders of other countries into mutually beneficial and durable cooperative security relationships. Mechanisms for doing so include the development of regular consultations among defense leaders and specialists and the promotion of a shared body of practical experience among military establishments that creates new precedents and patterns for joint action.

Perry and Carter have returned to their academic bases at, respectively, Stanford and Harvard universities. Under two grants, they are continuing to explore applications of preventive defense and are jointly producing a book with the working title, *Preventive Defense in an Age of Hope*. The book will cover U.S. interests and leadership, deterrence, efforts to reduce the nuclear danger, counterproliferation, and peacekeeping and humanitarian operations.

William J. Perry, Michael and Barbara Berberian Professor, Stanford University, or Ashton B. Carter, Ford Foundation Professor of Science and International Affairs, John F. Kennedy School of Government.

University of Maryland Foundation, College Park, MD. Professional development program for women in international security. One year, \$100,000.

Women in International Security is a membership organization dedicated to strengthening opportunities for women working in international security studies and related fields. It has created a network of women professionals around the world, organized workshops on media relations, and cultivated resources to support women seeking professional employment and career advancement. Planned activities include the promotion of information exchange among women at the senior-career stage, policy fellowships and skills-building workshops for midcareer women, and a summer symposium for graduate students and mentoring activities for younger women. Additional funders are the Ford Foundation and Citibank.

Peggy Knudson, Executive Director, Women in International Security, University of Maryland.

Monterey Institute of International Studies, Monterey, CA. Research and education on the proliferation of weapons of mass destruction. Two years. \$450,000.

The Newly Independent States Nonproliferation Project is an undertaking of the Monterey Institute's Center for Nonproliferation Studies. The center is developing a cadre of nonproliferation specialists in the successor states who can strengthen their countries' nonproliferation and export control policies. Beyond offering training to scholars, journalists, and policymakers, the center links working groups with nonproliferation institutes around the world, publishes a journal, and tracks data on the smuggling of nuclear materials and the brain drain of nuclear expertise from the successor states. Funding also comes from U.S. government agencies, other foundations, and database usage fees and publication subscriptions.

William C. Potter, Professor of International Policy, Center for Nonproliferation Studies, Monterey Institute of International Studies.

Institute for Defense and Disarmament Studies, Cambridge, MA. International survey of cooperative policy on conventional arms control. Two years, \$150,000.

The Institute for Defense and Disarmament Studies' Arms and Security Project has analyzed post-Cold War trends in global arms industries and the impact of advanced conventional weapons on international security. The project's international team of scholars has addressed the continued deployment, production, and export of combat aircraft by industrialized and developing nations. In a new annual publication, *Arms and Security*, the institute is surveying global armament trends and likely policy choices in arms control, describing how current arms export policies undermine security. It is advancing ideas on new forms of international cooperation to curb arms sales.

Randall Forsberg, Executive Director, Institute for Defense and Disarmament Studies.

Stanford University, Stanford, CA. Project on industry restructuring and the political economy in Russia. One year, \$225,000.

Since the early 1990s, researchers at Stanford University's Center for International Security and Arms Control have studied and assisted Russian efforts to convert part of its defense industry to peacetime uses. The project is focusing on three aspects of this transformation: cooperative ventures with U.S. companies; the prospects for military-oriented research and development firms; and the effects that privatization, corporate governance, market structure, and state financial support for manufacturing firms are having on defense conversion. Findings from the research will be presented in a book on Russia's attempts to restructure and transform its defense sector. The Eurasia Foundation also provides support.

Michael M. May or Scott Sagan, Codirectors, Center for International Security and Arms Control.

National Academy of Sciences, Washington, DC. Support of activities of the Committee on International Security and Arms Control with China and Ukraine. One year, \$250,000.

The Committee on International Security and Arms Control (CISAC) of the National Academy of Sciences draws together scientific and technical specialists to work toward common solutions of security and defense problems. In discussions with scientists in China, CISAC is addressing Asian-Pacific security, the future of nuclear weapons policy, and issues involving the proliferation of nuclear, chemical, and biological weapons. It is meeting with scientists from Ukraine to address energy and security, missile proliferation, and that country's participation in international arms control efforts. Funding also comes from the John D. and Catherine T. MacArthur Foundation.

Jo L. Husbands, Director, Committee on International Security and Arms Control, National Academy of Sciences.

Atlantic Council of the United States, Washington, DC. Programs on Ukrainian-American relations and the reduction of the risks of nuclear proliferation. One year, \$100,000.

The Atlantic Council's Further Reins on Nuclear Arms project aims to create international consensus on ways to reduce the nuclear threat. It holds consultations and produces policy papers for government officials, military and business leaders, diplomats, scholars, and journalists in this country and abroad. The council's Future of Ukrainian-American Relations project, which is also supported by other foundations, holds exchanges for policymakers from the two nations. Among the goals are to sharpen U.S. interest in Ukraine and introduce Ukrainian leaders to economic and military policy alternatives. Recommendations are circulated to governmental and non-governmental leaders in Ukraine and the United States.

Andrew J. Goodpaster, Chairman, Atlantic Council of the United States.

Wisconsin Project on Nuclear Arms Control, Washington, DC. Research, writing, and advocacy on the enforcement of export controls. Eighteen months, \$75,000.

The Wisconsin Project on Nuclear Arms Control tracks international sales of ballistic missile and nuclear weapons technologies. It also monitors legislation and regulations to control the export of these technologies. Each month the project's electronic bulletin *Risk Report* examines the nuclear, chemical, or missile program of a different country and presents an unclassified list of weapons buyers there that are linked to the spread of weapons of mass destruction. The objective is to help exporters make informed, responsible sales decisions. Additional support for the project comes from other foundations and from subscription sales of *Risk Report*.

Gary Milhollin, Director, Wisconsin Project on Nuclear Arms Control.

Fund for Peace, New York, NY. Media and Security Project. One year, \$75,000.

The aim of the Media and Security Project of the Fund for Peace is to strengthen media coverage of international security issues. The project's on- and off-the-record gatherings bring print journalists, editors, television correspondents, producers, and bureau chiefs together for discussions and briefings with military and national security experts and representatives of the departments of State and Defense. Through a new fellowship program, each year a minority graduate student from the School of Media and Public Affairs at George Washington University works with the project to gain exposure to the field of international security journalism. The Ford, W. Alton Jones, and Robert R. McCormick Tribune foundations provide further support.

Harry J. Disch, Director, Media and Security Project, Fund for Peace.

Carnegie Corporation of New York, New York, NY. Research and an edited volume on McGeorge Bundy's role in policymaking on the Vietnam War. Nine months, \$70,000.

At the time of his death in 1996, Corporation scholar-in-residence McGeorge Bundy was writing a book on his role, as national security advisor to Presidents Kennedy and Johnson, in formulating policy on Vietnam. He intended the book for a broad audience. The Corporation is enabling Gordon Goldstein, Bundy's collaborator in the project, to draw on the public record of Bundy's writings and on unpublished materials to complete an edited volume that will come as close as possible to the volume Bundy envisaged. The materials will be reviewed by members of Bundy's family and by experts selected in consultation with Yale University Press, which will publish the book.

David C. Speedie, Program Chair, Preventing Deadly Conflict, Carnegie Corporation of New York.

DISCRETIONARY GRANTS

Carnegie Corporation of New York, New York, NY
For research and writing by McGeorge Bundy, \$12,000

Center for Civil Society International, Seattle, WA
Toward a project on civil society in Central Asia, \$25,000

Conflict Management Group, Cambridge, MA
Toward a conference on peace and stability in Chechnya--Russian Federation relations, \$25,000

Donetsk Scientific-Applied Association Psychological Center, Donetsk, Ukraine

Toward support of conflict resolution in Ukraine and development of a network of conflict resolution organizations and practitioners, \$25,000

George Mason University, Fairfax, VA

Toward a workshop on conflict resolution in the Transcaucasus, \$15,000

Harvard University, Cambridge, MA

For research and writing on international security by Ashton B. Carter, \$25,000

Institute of USA and Canada Studies, Moscow, Russia

For a research project on U.S.-Russian relations, \$25,000

Massachusetts Institute of Technology, Cambridge, MA

Toward research and writing on nuclear deterrence and U.S.-Russian relations, \$15,000

National Peace Institute Foundation, Washington, DC

Toward a network of women civic and professional leaders in Armenia, Azerbaijan, and Georgia, \$25,000

Omsk State University, Omsk, Russia

Toward an international conference on Russian-Eurasian relations, \$15,000

Search for Common Ground, Washington, DC

For strengthening its fund-raising capacity, \$25,000

State of the World Forum, San Francisco, CA

Toward travel costs of participants in a conference on global priorities in the twenty-first century, \$25,000

United Nations Association of the United States of America, New York, NY

Toward a project on the United Nations and U.S. national interests, \$25,000

Strengthening Human Resources in Developing Countries

The Corporation's program, Strengthening Human Resources in Developing Countries, seeks to enhance capacity within selected countries for sustaining social and economic development in the context of transitions to democratic governance. Currently, grants are concentrated in anglophone sub-Saharan African countries, with limited activities in the Commonwealth Caribbean.

Three interlocking strategies are being pursued: expansion of indigenous scientific and technical capabilities to manage development challenges; improvement in women's health, education, and legal status; and furtherance of democratic processes. Particular attention is given to strengthening local capacity and encouraging community-based support for activities that can sustain development. The Corporation encourages the establishment and growth of national, regional, and international partnerships of researchers and leaders in governmental and nongovernmental organizations.

Under *science and technology for development*, grants are made to link science and technology policies with economic policies and to share knowledge and innovations among scientists and policymakers, mainly in sub-Saharan Africa. In addition to fostering intersectoral and interdisciplinary networks, the Corporation is funding the establishment of computer-based information and networking systems at universities and scientific institutions. Support is also given for empirical analyses in selected African countries, aimed at increasing the effectiveness of these nations' health policies.

Women's health and development builds on the successful experiences of a West African operations research network on maternal mortality. The results of

this project have led to the recognition that sustained improvement in the health of women will depend on progress in other aspects of their lives. The Corporation is, therefore, funding efforts to reduce the gender gap in education, promote laws and policies to improve the status of women, and expand women's leadership in planning and setting development priorities and policies in sub-Saharan Africa.

Through the initiative on *transitions to democracy in Africa*, the Corporation is promoting progress toward democratic governance in the continent. Current funds are enabling a network of African scholars to analyze the literature produced in Africa on the factors influencing democratic processes and transitions. In addition, support is given to studies of national sovereignty and military-civilian relationships — two areas that have implications for the resolution of internal conflicts in Africa. The Corporation also promotes new approaches to designing and implementing collaborative development assistance strategies in Africa. A long-standing concern, addressed by grant recipients in this country, is to build constituencies for Africa among United States leaders in the public and private sectors. The aim is to contribute to an understanding of changes under way in the continent and to an awareness of the opportunities and benefits of U.S. partnership aimed at reinforcing these changes.

As a result of the Corporation's review of its current programs, it is possible that priorities within the developing countries program will change in 1998.

United Nations Economic Commission for Africa, Addis Ababa, Ethiopia. Building capacity in science and technology in Africa. One year, \$440,000.

The United Nations Economic Commission for Africa (ECA) organizes meetings at which African ministers of economic development and planning devise regional policies. The ministers have charged the ECA with building national and regional capacity in science and technology. Besides bringing together experts in using compatible standards for information systems, it holds roundtables for the creation of national information and communication infrastructures to support decision making at all levels. Public and private sector science and technology leaders are being convened to address major development issues.

Pauline Makinwa-Adebusoye, Chief, Food Security and Sustainable Development Division, United Nations Economic Commission for Africa.

United Nations Department for Development Support and Management Services, New York, NY. Coordinated African Program of Assistance on Services of the United Nations Conference on Trade and Development. Two years, \$250,000.

Trade in services, including transportation, finance, and telecommunications, with their demands for skilled labor, is critical for sustaining national development. The Coordinated African Program of Assistance on Services (CAPAS), created by the United Nations Conference on Trade and Development, is funded by bilateral and multilateral donors to help countries strengthen their service sector policies and their competitiveness in trade in services. CAPAS has supported researchers' and policymakers' analysis of the service sector and related policy issues in Benin, Burundi, Ghana, Guinea, Kenya, Nigeria, Senegal, Tanzania, Uganda, and Zimbabwe, and the effort is being replicated in Lesotho, Namibia, Swaziland, and Zambia.

Thierry Noyelle, Chief Technical Advisor, United Nations Department for Development Support and Management Services.

National Academy of Sciences, Washington, DC. Symposium on science and technology for international development. One year, \$50,000.

At a 1996 international conference sponsored by the Corporation and the World Bank and held on the Internet, some 300 participants discussed the role of foundations in promoting development. The meeting was followed up by a face-to-face conference, on knowledge for development in the information age, funded and organized by the World Bank and the Canadian government and held in June 1997 in Toronto. A Corporation-supported symposium organized by the National Academy of Sciences was held at the conference. The symposium brought together scientists and foundation leaders to produce an agenda for action by foundations and the World Bank in building science and technology capacity in developing countries.

Michael Greene, Program Director, Science and Technology for International Development, National Academy of Sciences.

Council for Scientific and Industrial Research, Accra, Ghana. Establishment of science and technology policy dialogues in Ghana. Two years, \$100,000.

As a result of the rapid growth of Ghana's foreign investment and its creation of a parliamentary subcommittee on science and technology, the climate for furthering science and technology has become increasingly favorable. A team of researchers under the Council for Scientific and Industrial Research has synthesized a range of science and technology policy studies for distribution to academics, policymakers, and private sector representatives. The compendium will be discussed at council-sponsored meetings to review strategies for integrating science and technology policies with economic planning.

Joseph Gogo, Director, Science and Technology Policy Research Institute, Council for Scientific and Industrial Research.

University of Dar es Salaam, Dar es Salaam, Tanzania. Establishment of science and technology policy dialogues in Tanzania. Two years, \$75,000.

Researchers at the University of Dar es Salaam are attempting to foster an environment conducive to policy dialogue among the producers and users of scientific and technological knowledge. The team has created a compendium of Tanzania's science and technology policy studies, which will be distributed among academics and practitioners in the public and private sectors. Two meetings to set national priorities and review approaches to science and technology development are expected to result in the formation of national working groups that will deliberate on selected topics. The university is also creating a database of information on the nation's science and technology activities.

Hasa Mfaume Mlawa, Professor, Institute of Development Studies, University of Dar es Salaam.

University of Zimbabwe, Harare, Zimbabwe. Establishment of science and technology policy dialogues in Zimbabwe. Two years, \$100,000.

A compendium of Zimbabwe's science and technology policy studies is being issued to academics, policymakers, private sector leaders, and representatives of nongovernmental organizations. Recipients will attend two meetings. At the first one, sectoral and thematic working groups will address national priorities and strategies and make recommendations for action. From the groups' reports, participants at the second meeting will create a framework for national science and technology policy reform. The framework will include a secretariat to coordinate meetings of the groups, build a database on science and technology activities in Zimbabwe, and synthesize working group recommendations into policy papers for government consideration.

Benson Zwizwai, Senior Research Fellow, Institute of Development Studies, University of Zimbabwe.

University of Cape Town, Rondebosch, South Africa. Collaborative support program for the development of science and engineering capacity in selected African institutions. Three years, \$350,000.

Grants from the Corporation and other donors are supporting the University of Cape Town's University Science, Humanities, and Engineering Partnerships in Africa. The aims of the partnerships are to promote collaboration among researchers in the generation and dissemination of knowledge in these fields and to build related institutional capacity at universities in southern Africa. Funds are applied to postgraduate fellowships, courses, research exchanges for scholars, the purchase of computer software and library materials, and research support to the fellows as they return to their home institutions.

Martin West, Project Leader, University Science, Humanities, and Engineering Partnerships in Africa, University of Cape Town.

New York Academy of Sciences, New York, NY. Conference in Africa on U.S. and international experience in science-based economic development. Two years, \$200,000.

At a 1996 international forum, the New York Academy of Sciences presented its case studies of the contributions of science and technology to economic development in seven states and one city in the United States. The economic and demographic characteristics of the sites are similar to those of many middle-income developing countries. The studies revealed ways that partnerships of academic, corporate, and public officials can generate development strategies. The academy is organizing a 1998 conference for business, university, and government leaders in Africa to consider ways of fostering similar partnerships there. Conference papers and proceedings will be distributed in the continent and placed on the academy's World Wide Web site.

Susan U. Raymond, Director, Policy Programs, New York Academy of Sciences.

American Association for the Advancement of Science, Washington, DC. Symposium on science in Africa. Nine months, \$75,000.

The Sub-Saharan Africa Program of the American Association for the Advancement of Science (AAAS) aims to improve African scientists' and policy-makers' access to scientific information and to publicize Africa's scientific progress. The program has held symposia on scientific activities in Africa and roundtables at which policymakers, development specialists, and representatives of donor organizations and technical assistance agencies have discussed issues in science and technology. The symposia and the roundtables have resulted in book-length publications that reach large audiences in the United States and in African countries. The symposium at AAAS's 1997 meeting focused on the economic potential of Africa's marine resources.

Peter Schmidt, Director, Sub-Saharan Africa Program, American Association for the Advancement of Science.

Association of African Universities, Accra-North, Ghana. Collection and dissemination of science and technology information produced in African universities. One year, \$100,000.

In 1992 the Association of African Universities designed a program to provide information on science and technology research to its members, of which there are now 135, and to other institutions of higher education in Africa. The program also promotes scientific and technological linkages between universities and the private sector in the continent. The association is building a regional database on science and technology research results at African universities and publishing a handbook of technological findings. In addition, it is issuing a twice-yearly newsletter to inform member universities and potential users of research results in the private and public sectors.

Zoumana Bamba, Head, Information and Communication Division, Association of African Universities.

University of Zimbabwe, Harare, Zimbabwe. Campuswide computer network. Two years, \$100,000.

Since 1988 the University of Zimbabwe has been developing a scientific information system that includes electronic mail, Internet connectivity, and CD-ROM and desktop publishing capability. The university is now creating a local area network to link its teaching and administrative departments, its main library, and its medical library. Staff members and students are being trained in the use of the new technologies. Beyond improving communication and information exchange, the network will offer departments easier access to library databases and enable the university to become an international node for accessing the Internet.

Gibson Madungwe, Acting Director, Computer Aided Learning Project, University of Zimbabwe.

University of Cape Coast, Cape Coast, Ghana. Campuswide networking and telecommunications project. Two years, \$100,000.

A 1993 education reform program launched by Ghana's government calls for additional university graduates and advanced postgraduate personnel in agriculture, mathematics, and the sciences. The aim is to staff the secondary, technical, and vocational schools that have been created for science-led development. The University of Cape Coast, the only institution accredited to train teachers for Ghana's schools, is attempting to strengthen its research and training infrastructure. It is creating a computerized management information system and a local area network that includes a database for departmental lectures. The network will also acquire access to the Internet.

Samuel K. Adjepong, Professor of Physics and Vice Chancellor, University of Cape Coast.

Institute of International Education, New York, NY. Internal assessment of the International Health Policy Program. Fifteen months, \$150,000.

The International Health Policy Program (IHPP), based at the Institute of International Education, has been cosponsored by the Pew Charitable Trusts in collaboration with the Corporation, the World Health Organization, and the World Bank to improve the allocation of developing countries' resources for health care. The IHPP gives grants and technical support to governmental and nongovernmental organizations in eleven Asian and African nations for research in health policy. It is now studying the effects of the research efforts on health policies and whether the changes are leading to the more efficient use of resources and to better health among disadvantaged people. A final report for governments, the donor community, and researchers is being issued in 1998.

Davidson R. Gwatkin, Director, International Health Policy Program, Institute of International Education.

Institute of International Education, New York, NY. International Health Policy Program. Twenty-one months, \$400,000.

IHPP teams in Ghana, Kenya, Nigeria, Tanzania, and Uganda have concentrated on the allocation and use of health ministries' resources, the financing of health services, and the shift of responsibility for health systems from the public to the private sector. The teams are using the results of their analyses to recommend more effective, efficient, and equitable health policies. IHPP staff members are holding workshops at the World Bank and in the five African countries to help the teams prepare manuscripts on the projects. Published results will be presented at international meetings attended by academics, policymakers, and representatives of donor organizations.

Davidson R. Gwatkin, Director, International Health Policy Program, Institute of International Education.

University of Ibadan, Ibadan, Nigeria. Training and research in health policy in Nigeria. Thirty-four months, \$300,000.

National health accounts, which describe the sources and uses of all funds for a country's health sector, are being recognized by a growing number of developing nations as a valuable tool for formulating cost-effective and equitable health policies. Preparing a national health account for Nigeria is the current focus of the IHPP team based at the University of Ibadan. Team members are drawing on literature reviews and surveys concerning Nigeria's health services, household expenditures, and donor and nongovernmental organization funding in order to estimate the availability and distribution of health resources. Findings will be presented at policy workshops for Nigeria's local, state, and federal policymakers.

Gini F. Mbanefoh, Project Coordinator, University of Ibadan.

Uganda National Council for Science and Technology, Kampala, Uganda. Research and training in health policy in Uganda. Two years, \$150,000.

Uganda is witnessing major changes in its health care system, including the establishment of user fees and health insurance, the private sector's growing role in delivering services, and a proliferation of external donor agencies providing loans and grants to support the health sector. IHPP researchers based at the Uganda National Council for Science and Technology have been analyzing ways to develop efficient, effective, and equitable health policies. They are now studying the impact of external donor assistance on the nation's health care system. The research will include case studies of donor agency activities in Uganda and of the planning processes of donors in their home countries.

David O. Okello, c/o School of Medicine, Makerere University.

Council on Health Research for Development, Geneva, Switzerland. Essential national health research in sub-Saharan Africa. Two years, \$300,000.

The nongovernmental Council on Health Research for Development was founded in 1993 to increase international support for essential national health research, a strategy by which policymakers join with researchers and health care providers to analyze local and national health problems and set priorities for delivering health care. Some forty countries worldwide are developing or implementing the strategy. In addition to holding national consultations and sponsoring roundtable meetings with donors and international organizations, the council promotes the creation of regional networks enabling countries to share experiences. The Corporation's support of the council's work in sub-Saharan Africa is joined by funding from governments and bilateral aid agencies.

Yvo Nuyens, Coordinator, Council on Health Research for Development.

Harvard University, Cambridge, MA. Support of the Takemi Program in International Health of the Harvard School of Public Health. Three years, \$345,000.

The Takemi Program in International Health, based at the Harvard School of Public Health, offers advanced training for midcareer health professionals, primarily from developing countries, who are concerned with health policy and management. Ten-month fellowships for researchers and practitioners in health policy enable them to sharpen their analytical skills and broaden their international contacts. Visiting professorships for distinguished scholars and prominent experts in the health field are also provided. The program receives additional major funding from the Japan Foundation and the Merck Company Foundation. The Corporation's support is for scholars from sub-Saharan Africa.

Michael R. Reich, Director, Takemi Program in International Health, Harvard School of Public Health.

Pan-African Association of Anthropologists, Yaoundé, Cameroon. Network of medical anthropologists in Africa. One year, \$50,000.

The goals of the Pan-African Association of Anthropologists are to reduce the isolation of young African anthropologists working in the continent and to enhance their professional skills. The association has created four research networks, including the Network of African Medical Anthropologists, which trains medical anthropologists — scientists who study the effect of social and cultural characteristics on the health of populations — to devise and implement informed health policies and programs. The association's training program is expected to establish electronic linkages among more than fifty faculty members in twelve medical anthropology departments at African universities.

Paul Nchoji Nkwi, President, Pan-African Association of Anthropologists.

Fundación Mexicana para la Salud, Mexico City, Mexico. Strengthening health resources and philanthropy in Mexico. Two years, \$300,000.

The Fundación Mexicana para la Salud (FUNSALUD) was created in 1985 by entrepreneurs and health leaders to mobilize private funding for health research in Mexico. With support from its business partners, the Mexican government, U.S. foundations, and international organizations, it has become a full-fledged grantmaking and operating foundation, concentrating on maternal and child health, nutrition, gastrointestinal diseases, and health policy. FUNSALUD is managing a clearinghouse of information on health systems reform within its permanent Center for Health and the Economy, developing a network of health foundations in Latin America, and strengthening its dissemination efforts, particularly the English-language publications program.

Guillermo Soberón, Executive President, Fundación Mexicana para la Salud.

Columbia University, New York, NY. Publication and dissemination of research on maternal mortality in sub-Saharan Africa. Nine months, \$50,000.

The Prevention of Maternal Mortality Network, an anglophone West African operations research effort, concluded its work in 1996. Twenty-eight papers presenting cost-effective strategies for improving emergency obstetric care and mobilizing community support will be published in a special issue of the *International Journal of Gynecology and Obstetrics*. Columbia University's Center for Population and Family Health, which coordinated the network, is publishing the issue, producing a book of research abstracts, and distributing a final evaluation to the teams. The Andrew W. Mellon Foundation and the John D. and Catherine T. MacArthur Foundation also provide support.

Deborah Maine, Research Scientist, Center for Population and Family Health.

Regional Prevention of Maternal Mortality Network, Accra, Ghana. Dissemination of research on maternal health in sub-Saharan Africa. One year, \$100,000.

As part of its effort to reduce maternal mortality in anglophone West Africa, Columbia University's Center for Population and Family Health and a network of eleven multidisciplinary research teams worked to create sustainable ways of improving access to and the quality of maternal health services. The teams have now organized the Regional Prevention of Maternal Mortality Network, based in Accra, Ghana. With funding also from the United Nations Development Programme, the network is disseminating research findings in Ghana, Sierra Leone, and Nigeria and producing materials to support new teams in East Africa and francophone West Africa.

Angela J. Kamara, Director, Regional Prevention of Maternal Mortality Network.

Forum for African Women Educationalists, Nairobi, Kenya. Support. Two years, \$500,000.

The Forum for African Women Educationalists, a group of cabinet members, university vice-chancellors, and other senior policymakers, seeks to improve African girls' access to education. Besides helping education ministers make better policy choices in the use of existing funds for education, the forum awards grants to support innovative ways of increasing educational opportunities for girls. Consultations for policymakers as well as brochures, posters, and videos for the public promote the message that allowing girls to go to school, helping them stay there, and ensuring that they graduate are essential for national development. The forum, which has seventeen national chapters, is also funded by private and bilateral donors and United Nations agencies.

Eddah Gachukia, Executive Director, Forum for African Women Educationalists.

African Women's Development and Communication Network (FEMNET), Nairobi, Kenya. Strengthening communication activities. Two years, \$178,000.

The African Women's Development and Communication Network (FEMNET) is the main regional network of organizations involved in women's development issues in Africa. FEMNET is now monitoring follow-up of the recommendations of the platform of action adopted at the United Nations Fourth World Conference on Women, held in Beijing in 1995. In addition to expanding its two newsletters' coverage of women's issues, the network is computerizing its documentation center and expanding the center's collection of print and audiovisual materials. The Interchurch Organization for Development Cooperation provides additional funding.

Safiya Kassim Singhathe, Executive Director, African Women's Development and Communication Network.

African Medical and Research Foundation, Nairobi, Kenya. Work of the women and development unit with women's organizations in East Africa. Eighteen months, \$160,000.

The African Medical and Research Foundation conducts projects in community-based primary health-care, AIDS and malaria prevention, family planning, and health education throughout eastern and southern Africa. Its women and development unit works with governments and nongovernmental organizations in addressing women's health issues. In addition to integrating women's and girls' health into the foundation's activities, the unit trains and assists ten groups in Kenya, Tanzania, and Uganda in evaluation, fundraising, and financial management in order to strengthen their ability to develop women's health projects. Support also comes from governmental aid agencies and private donors.

Njeri W. Muriithia, Head, Women and Development Unit, African Medical and Research Foundation.

University of the Witwatersrand, Johannesburg, South Africa. Research and policy development on women's health. Two years, \$300,000.

The Women's Health Project was founded by a group of women's health activists and is based at the Centre for Health Policy at the University of the Witwatersrand. The project, which addresses the lack of information about women's health and the exclusion of women from South African health policy development, has built a network of 3,000 practitioners, activists, and researchers. Staff members prepare recommendations aimed at improving health services for women, organize health education workshops for women's groups, and train health service providers in reproductive health. They also produce publications, maintain a resource center, and participate in international conferences. Funding also comes from government aid agencies and other donors.

Barbara Klugman, Coordinator, Women's Health Project, University of the Witwatersrand.

University of the Witwatersrand, Johannesburg, South Africa. Research on gender issues by the Centre for Applied Legal Studies. Two years, \$250,000.

As a result of the work of the University of the Witwatersrand's Gender Research Project, South Africa's 1996 constitution contains substantial protection for women's rights. The challenge now is to ensure that these rights are realized. Project staff members are continuing their independent research and advocacy in constitutional law, customary law, employment law, and access to justice. They are also working with women's, labor, community, and human rights groups to formulate law reform proposals, which will be shared with policymakers at all levels. Briefs for relevant court cases will also be produced. The Ford Foundation, Novib, and the Human Science Research Council furnish additional support.

Catherine Albertyn, Head, Gender Research Project, University of the Witwatersrand.

Women's National Coalition, Johannesburg, South Africa. Project to secure equality for women in South Africa. Thirteen months, \$100,000.

The Women's National Coalition, which comprises seventy South African women's organizations of all races and political persuasions, was founded in 1992 to ensure the inclusion of women's perspectives in the drafting of the nation's constitution. With further support from the Ford Foundation, the coalition is organizing advocacy campaigns in six areas of concern to women: violence, the workforce, health, education, economic empowerment, and power and decision making. Facilitators from member organizations in five provinces, all of them poor, are being trained to conduct educational workshops on these subjects.

Mohau Pheko, Chief Executive Officer, Women's National Coalition.

University of Cape Town, Rondebosch, South Africa. Research and policy institute on women's issues. Two years, \$150,000.

The African Gender Institute was created in 1996 by the University of Cape Town's Equal Opportunity Research Project. Through the institute's associate program, African women leaders spend several months pursuing their scholarly interests, particularly those related to gender policy research. The institute, which is also supported by the Ford Foundation and the government of Norway, has launched a documentation center on gender equity, a program to encourage equity for men and women in allocating educational resources elsewhere in Africa, and workshops on the issue of sexual violence at universities.

Amanda Gouws, Acting Director, African Gender Institute, University of Cape Town.

University of the Western Cape, Bellville, South Africa. Documentation center on gender and the law. Two years, \$100,000.

The University of the Western Cape, which was the intellectual base for the anti-apartheid movement in South Africa, has, through its Community Law Centre, become engaged in efforts to define and build a postapartheid society. The Women and Human Rights Project, one of three programs at the law center, is continuing to develop a collection of national, regional, and international books, periodicals, and reports related to the protection of women's rights. The project is holding workshops on the use of these materials, publishing a newsletter, and creating a World Wide Web site. The Ford Foundation and the Swedish Agency for International Development also provide funding.

Sandra Liebenberg, Senior Researcher and Coordinator, Women and Human Rights Project, University of the Western Cape.

Women and Law in East Africa, Nairobi, Kenya. Research on women's legal rights in Kenya, Tanzania, and Uganda. Two years, \$150,000.

Women and Law in East Africa is a research project that documents the legal treatment of women in Kenya, Tanzania, and Uganda, countries with similar legal systems and traditions. The project trains its investigators in field research methods to enable them to document laws and practices concerning women's rights. Teams from each country have studied statutory and customary laws on inheritance and succession, findings from which have been disseminated to women's rights groups and policymakers. The research is now focusing on marriage laws and legal access to family resources. Additional funding comes from the Ford Foundation and the Swedish Agency for International Development.

Janet Kabeberi-Macharia, Regional Coordinator, Women and Law in East Africa.

International Federation of Women Lawyers, Kenya Chapter, Nairobi, Kenya. Monitoring women's rights in Kenya. Two years, \$100,000.

The International Federation of Women Lawyers, Kenya Chapter, is dedicated to enhancing the legal status of women in that country. The chapter provides free legal assistance to women, holds workshops for community leaders and government officials on domestic violence, and monitors Kenya's compliance with international conventions regarding women. Through reviews of government policy documents, court and police records, media reports on women's rights violations, and its own case files, the chapter has built a women's rights database, information from which is released in an annual report on the status of women in Kenya. International and local donors provide additional support.

Jean Njeri Kamau, Executive Director, International Federation of Women Lawyers, Kenya Chapter.

Civil Liberties Organisation, Lagos, Nigeria.
Education on women's rights. Two years, \$50,000.

Established in 1987, the Civil Liberties Organisation was the first human rights advocacy group in Nigeria. Research by its Women's Rights Project in 1996 identified many laws and policies as well as community mores that adversely affect the reproductive rights and health of women. The project is therefore holding educational workshops for two major audiences on women's reproductive and legal rights: local-level health service providers and influential members of the community. The aim is to encourage participants to become agents of change within their communities in support of the enlargement and exercise of women's rights generally.

Theresa Akumadu, Head, Women's Rights Project, Civil Liberties Organisation.

TRANSITIONS TO DEMOCRACY IN AFRICA

Africa Leadership Foundation, New York, NY.
Support of the Africa Leadership Forum. Two years, \$400,000.

The Africa Leadership Forum of the Africa Leadership Foundation educates African policymakers about ways to achieve peace and stability within and between countries. Since 1991 the forum has promoted the Conference on Security, Stability, Development and Cooperation in Africa, a framework for achieving peace in the continent. Several member states of the Organization of African Unity, the body that must adopt the conference before its provisions can be applied, have expressed support for it. The forum is intensifying efforts to promote adoption of the conference and to engage young leaders, including women, in all its activities. Further support comes from the Friedrich Naumann Foundation and the United Nations Development Programme.

Hans d'Orville, President, Africa Leadership Foundation.

International Peace Academy, New York, NY.
Projects to build capacity to manage conflict in Africa. One year, \$200,000.

Since 1992 the International Peace Academy has worked with the Organization of African Unity (OAU) to develop a multilateral conflict management program. The Task Force on Peacemaking and Peacekeeping in Africa, a group of academy and OAU staff members and consultants, has prepared a report evaluating options for implementing the program. The academy holds consultations enabling women's groups and other nongovernmental institutions to consider roles they might play in conflict management and to build support for the program. It is also overseeing the creation of a database of institutions, scholars, and others who could assist the OAU in implementing it.

Margaret A. Vogt, Senior Associate, Africa Program, International Peace Academy.

Brookings Institution, Washington, DC.
Dissemination of research on conflict resolution in Africa. One year, \$200,000.

Findings from the Brookings Institution's case studies of the origins of conflict in Southern Africa, the Horn of Africa, West Africa, and Sudan have been used as the basis for recommending policies and institutional change that might result in increased political security and economic and human development for the continent. At a 1996 conference, scholars of international law and specialists on Africa and international relations analyzed the studies and discussed the conclusions of the final volume of Brookings' series on conflict in Africa. In addition to publishing the conference results and analyzing their policy implications for the United States, Brookings has begun planning further research on issues of sovereignty and leadership in Africa.

Francis M. Deng, Senior Fellow, Brookings Institution.

International Peace Academy, New York, NY. Dissemination and application of the experience of southern Africa in peacekeeping and peacemaking. Sixteen months, \$100,000.

Joseph N. Garba, a former foreign minister of Nigeria, ambassador to the United Nations, and president of the UN General Assembly, is continuing to assess the challenges of peacekeeping in southern Africa since the end of the Cold War. He has organized two conferences: one featuring case studies outlining the future role of the military in each country in the region in light of impending changes in South Africa, and the second on restructuring security forces and disarming civilians in that country. In addition to publishing and disseminating the recommendations from his work in South Africa, he is exploring ways to apply them in West Africa and in the Great Lakes region of East-Central Africa.

Joseph N. Garba, c/o International Peace Academy.

Association of African Women for Research and Development, Dakar, Senegal. Institutional strengthening. One year, \$150,000.

The Association of African Women for Research and Development has 559 members — researchers, academics, policymakers, and civil society leaders — and chapters in seventeen countries. By sponsoring workshops and seminars, it aims to build African women's capacity for research and advocacy so that they can make an impact on policies that most affect them. Following a 1996 evaluation, the association is attempting to reconfigure its institutional structure, improve training and fund-raising, revise program priorities, and increase membership. It is also resuming production of its quarterly newsletter, which promotes networking among the chapters and communication between the chapters and the secretariat.

Yassine Fall, Executive Secretary, Association of African Women for Research and Development.

Carter Center, Atlanta, GA. New model of international cooperation for development assistance. One year, \$250,000.

At a 1992 international conference, nongovernmental and business leaders identified the need to better coordinate the policies of donor agencies and recipient countries. The Global Development Initiative was subsequently launched at the Carter Center to formulate approaches for donor-recipient country partnerships. In missions to Guyana, chosen as the first test case, program staff worked with the finance ministry to promote collaboration with donors and creation of a long-term development strategy. Besides assisting with the strategy's implementation, the center is assessing the feasibility of testing the model in an African country. Support also comes from foundations and from bilateral and multilateral donors.

Gordon L. Streeb, Director, Sustainable Development Program, Carter Center.

Organisation of Rural Associations for Progress, Bulawayo, Zimbabwe. Establishment of a community foundation. Two years, \$100,000.

Since 1991 the Organisation of Rural Associations for Progress and the Synergos Institute have led planning efforts for a community foundation in western Zimbabwe. The aim of the foundation, which was launched in 1997 and is making grants starting in 1998, is to assist development initiatives in the country's three poorest provinces. It will build on local traditions of self-help and on *qogelela*, a group savings practice whereby families in a community pool their funds to make investments. *Qogelela* funds will form part of the foundation's endowment. The foundation works with other civil society organizations in Zimbabwe and elsewhere.

Thandiwe Cornelia Nkomo, Executive Coordinator, Organisation of Rural Associations for Progress.

Africare, Washington, DC. Planning a national leadership conference on U.S.-Africa relations. One year, \$250,000.

With funding also from the Ford Foundation, a National Summit on Africa is to be held in 1999. Modeled on United Nations conferences, the summit will foster debate on the importance of Africa to the United States and will present a new agenda to guide U.S. involvement in the continent's renewal. Preparatory meetings are being held on such themes in U.S.-Africa relations as peace and security, democracy and human rights, trade and investment, and sustainable development. Recommendations from the meetings will result in a draft agenda for action to be considered at the summit. The development organization Africare served as fiscal agent for this grant.

MacArthur DeShazeo, Executive Director, National Summit on Africa.

American Assembly, Columbia University, New York, NY. Program on Africa and U.S. national interests. Eighteen months, \$150,000.

The American Assembly was established in 1950 at Columbia University to foster discussion and elicit independent conclusions on matters of public concern. With further support from the Ford Foundation, in 1997 it held an assembly on Africa and U.S. interests, the first since 1958 to focus exclusively on the continent. U.S. leaders from business, labor, academia, government, and the media discussed African democratization, economic development, health, population growth, the environment, and peace and stability. Background papers and a report on how U.S. policy can most productively address these issues were disseminated in print and on the World Wide Web.

Daniel A. Sharp, President, American Assembly, Columbia University.

Africa Policy Information Center, Washington, DC. Support. Two years, \$200,000.

The Africa Policy Information Center offers information on Africa to a wide variety of audiences in the United States. Its Africa Policy Electronic List provides e-mail documents — some produced by the center and some by other organizations — on African issues that are relevant to current U.S. policy debates. The core of the center's publications program is a series of short background papers and issue briefs, which are supplemented by longer policy studies. Support also comes from the Ford Foundation.

Pearl-Alice Marsh, Interim Executive Director, Africa Policy Information Center.

Constituency for Africa, Washington, DC. Constituency building and information dissemination. Two years, \$200,000.

The Constituency for Africa is an independent national network of African American groups working to improve the effectiveness of U.S. policies toward the continent. In addition to organizing town hall meetings to discuss African policy matters, the constituency holds an annual meeting in conjunction with the Congressional Black Caucus's activities each September. It is now setting up institutional structures that will enhance its effectiveness as a coalition of organizations interested in Africa. The Ford Foundation provides additional funding.

Melvin P. Foote, Executive Director, Constituency for Africa.

African-American Institute, New York, NY. Development of a strategic plan. One year, \$200,000.

The African-American Institute was established in 1953 to foster development in Africa and promote cooperation between Americans and Africans. More than 20,000 Africans have benefited from its short- and long-term education and training programs, and many have returned home to assume leadership positions in education, business, politics, and the professions. The institute, which has been funded primarily by U.S. government agencies, is embarking on a comprehensive strategic planning process to sharpen its priorities, identify new program areas, and create an organizational and management structure that can be sustained with reduced support.

Mora McLean, President, African-American Institute.

Aspen Institute, Queenstown, MD. Project to reconceptualize U.S. foreign assistance. One year, \$100,000.

In 1996 the Aspen Institute's Congressional Program held a meeting on the future of this nation's foreign assistance program. U.S. and other experts from a variety of fields suggested ways of framing aid programs not only to win public and political support but also to address the needs of developing countries. Two 1997 meetings, funded also by the Rockefeller Foundation, enabled foreign policy and foreign assistance specialists to follow up on these recommendations. At the first meeting, participants explored conceptual links between foreign policy and foreign assistance; at the second, they recommended options for structuring an aid program linked to high-priority foreign policy goals.

Dick Clark, Director, Congressional Program, Aspen Institute.

Africa Fund, New York, NY. Promoting the involvement of state and municipal officials in U.S. policy toward Africa. Two years, \$200,000.

The Africa Fund was created in 1966 to increase U.S. support for constructive foreign policy toward the newly independent nations of Africa. It is now reaching out to state and local officials to broaden the Africa policymaking process beyond the Washington foreign policy community. Using a constituency-building model that emphasizes personal contact through meetings, telephone calls, and mailings, the fund has built a core of 250 knowledgeable decision makers willing to take positions on U.S. policy toward Africa. These officials engage in travel exchanges with their African counterparts and consult with national officials to devise strategies for improving policies toward Africa.

Jennifer Davis, Executive Director, Africa Fund.

National Policy Association, Washington, DC. Information and education project on U.S. foreign aid and development assistance for U.S. business and labor leaders. One year, \$75,000.

The National Policy Association brings together U.S. officials from the public and private sectors to consider a variety of economic and social issues. In a project to reexamine the goals and strategies of U.S. foreign aid and development assistance, it is holding meetings for representatives of government, voluntary organizations, business, and labor. Recommendations on U.S. assistance will be contained in a report. A quarterly newsletter, online services, and resource packets have been created to encourage a continuation of the discussions. Further support comes from the U.S. Agency for International Development and from in-kind donations and unrestricted contributions to the association.

Marilyn Zuckerman, Vice President, National Policy Association.

Center for Strategic and International Studies, Washington, DC. Meeting on the role of trade and investment in U.S. policy toward Africa. Six months, \$50,000.

Since the end of the Cold War, the United States' policy toward Africa has been based mainly on humanitarian and development assistance. With reductions in bilateral aid, commercial ties are becoming a promising area for new policy initiatives. To broaden the scope of debates over the role of the private sector in promoting development in Africa, the Center for Strategic and International Studies hosted an April 1997 meeting for African and U.S. policymakers, scholars, and civil society leaders. The focus was on ways of cultivating mutually beneficial trade and investment relationships between African countries and the United States. The United Nations Development Programme also provided funding.

Constance J. Freeman, Director, African Studies, Center for Strategic and International Studies.

Investor Responsibility Research Center, Washington, DC. Planning a project to provide investment information about southern Africa. Nine months, \$50,000.

The Investor Responsibility Research Center, which conducts impartial research on business and public policy issues relevant to major corporations and their shareholders, is a major source of information on multinational companies that have links with South Africa. Its new Southern Africa Investment Information Project assists small and medium-sized firms interested in investing in that region. The center is developing a database of multinational firms with business interests in southern Africa, preparing annual directories and monthly updates that highlight multinational investment trends in the region, and identifying potential business ventures.

Meg Voorhes, Director, South Africa Program, Investor Responsibility Research Center.

Brookings Institution, Washington, DC. Research and writing by Howard Wolpe on U.S. foreign policy in Africa. Thirteen months, \$200,000.

The democratization and market-oriented economic reforms occurring in Africa are rarely reflected in popular reporting in the United States. To fill the void, former U.S. congressman Howard Wolpe has analyzed political and economic changes in the region, U.S. policy interventions there, and American interests in southern Africa. Through newspaper articles, radio and television interviews, and roundtables held by the Brookings Institution's Africa Program, Wolpe has disseminated the results of his studies to U.S. policymakers, opinion leaders, and journalists reporting on Africa. He is now preparing a volume on the relevance to this country of South Africa's political, social, and economic transformations.

Howard Wolpe, Visiting Scholar, Brookings Institution.

DISCRETIONARY GRANTS

Akina Mama Wa Afrika, London, United Kingdom
Toward an African women's leadership institute, \$25,000

American Academy of Arts and Sciences, Cambridge, MA
Toward planning an issue of *Daedalus* on South Africa, \$25,000

American Assembly, Columbia University, New York, NY
Toward dissemination of a report on Africa and U.S. national interests, \$9,000

Commonwealth Science Council, London, United Kingdom
Toward a training workshop on setting national priorities for research, science, and technology in Malawi, \$18,000

Continental Consultants (Ghana), Accra-North, Ghana
For planning a multidisciplinary African women's health network, \$25,000

Family Planning Association of Tanzania, Dar es Salaam, Tanzania

For a project to strengthen programs and cooperation on women's health among nongovernmental organizations in Tanzania, \$25,000

University of Florida, Gainesville, FL

For research and writing by Larry Koinyan on rural development in Nigeria, \$25,000

University of Florida, Gainesville, FL

Toward the International Court of Justice Fiftieth Anniversary Seminar for Africa on the rule of law, \$25,000

FORO Nacional/Internacional, Lima, Peru

As a final grant toward research and writing by Francisco R. Sagasti on the role of science and technology in the process of development, \$25,000

Dag Hammarskjöld Foundation, Uppsala, Sweden

Toward a workshop on designing and implementing independent development funds in Africa, \$25,000

Harvard University, Cambridge, MA

Toward activities by Leon Eisenberg to promote awareness of world mental health conditions, \$25,000

Kenya Medical Women's Association, Nairobi, Kenya

For a project to strengthen programs and cooperation on women's health among nongovernmental organizations in Kenya, \$25,000

National Academy of Sciences, Washington, DC

Toward dissemination of a report by the Institute of Medicine on the role of health in U.S. foreign assistance, \$25,000

National Council of Women of Kenya, Nairobi, Kenya

Toward an organizational review and strategic planning workshop, \$25,000

Scientific and Industrial Research and Development Centre, Harare, Zimbabwe

Toward its scientific publishing and dissemination program, \$25,000

Uganda Protestant Medical Bureau, Kampala, Uganda

For a project to strengthen programs and cooperation on women's health among nongovernmental organizations in Uganda, \$25,000

Women's Foreign Policy Group, Washington, DC

Toward programs on African issues for women in international affairs, \$25,000

Yale University, New Haven, CT

As a final grant toward research and writing by Ruben P. Mendez on the United Nations Development Programme, \$25,000

Special Projects

Some grantmaking flexibility, embodied in relatively untargeted funds, permits foundations to seize promising and unusual opportunities, support the planning and start-up of new ventures that others may continue, explore possible new programs, and make other grants outside defined program areas.

In recent years, the Corporation's Special Projects funding has tended to coalesce around efforts to strengthen American democracy, to contribute to the health and welfare of the philanthropic and nonprofit sectors, and, on occasion, to study ways that universities can contribute to society beyond their traditional teaching and research. Grants have been made for gathering and analyzing information that has been used by researchers, lawyers, and community advocates to enhance citizen participation in democratic processes. A number of projects challenge discriminatory redistricting and voting practices and assist eligible immigrants in obtaining citizenship and registering to vote. In addition, support is being given for the use of new communications technologies to provide nonpartisan information about candidates and issues; for

analyzing national, state, and local campaign financing and campaign finance reforms; for studying the relationship of economic and social problems; and for fostering public education and debate about global issues.

The Corporation maintains its membership in, or provides support to, five national organizations concerned with the nonprofit and philanthropic sector — the Council on Foundations, the Foundation Center, Independent Sector, the National Committee for Responsive Philanthropy, and the National Charities Information Bureau — and two local ones, the New York Regional Association of Grantmakers and the Nonprofit Coordinating Committee of New York. These groups publish information about the nonprofit sector, encourage the sector to report fully to the public, and monitor relations between the sector and government.

Also under Special Projects, major attention has been given to the Carnegie Commission on Science, Technology, and Government, an operating program that formally ended in 1993. The Corporation disseminates the commission's reports, and in 1997 it completed projects resulting from commission recommendations and initiatives.

As a result of the Corporation's review of its current programs, it is possible that priorities within Special Projects will change in 1998.

University of Texas, Austin, TX. Study of the social and political implications of major economic trends, cosponsored by the Economic Policy Institute. Two years, \$132,000.

Widening inequalities in wealth and income; increased economic, social, and ethnic segregation; and the declining power of unions and civil rights groups have ominous implications for the nation's polity, society, and economy, according to former U.S. secretary of labor Ray Marshall. Now a professor at the Lyndon B. Johnson School of Public Affairs at the University of Texas, Marshall led a study of the policy basis for ameliorating the problems caused by these trends. Scholars from different disciplines discussed their findings at a conference cosponsored by the Economic Policy Institute, which collaborated on the study. The findings will be incorporated in a book to be released in 1998.

Ray Marshall, Audre and Bernard Rapoport Centennial Chair in Economics and Public Affairs, Lyndon B. Johnson School of Public Affairs.

Economic Policy Institute, Washington, DC. Study of the social and political implications of major economic trends, cosponsored by the University of Texas, Lyndon B. Johnson School of Public Affairs. One year, \$218,000.

The University of Texas–Economic Policy Institute project on the social and political consequences of the nation's economic trends commissioned background papers for presentation at a May 1997 national conference. Institute and university scholars synthesized the policy implications of the papers for discussion by conference participants, who included experts from various political and institutional perspectives. Among the materials issued was the institute's *Chart Book of American Living Standards*. The institute's collection of selected papers, *Restoring Broadly Shared Prosperity: A Conference Volume*, has had a large circulation.

Jeff Faux, President, Economic Policy Institute.

Economic Policy Institute, Washington, DC. Its publication *The State of Working America* and research on the politics of rising inequality and declining living standards. One year, \$200,000.

The Economic Policy Institute has published the 1996–97 edition of *The State of Working America*, a biennial fact book on family income, taxes, wages, unemployment and underemployment, wealth, and poverty in the United States. Regional and state differences and comparisons with other countries are included. In a separate project, the institute used a variety of political and economic data to test the hypothesis that rising inequality and declining living standards lead to antigovernment attitudes and doubts about government fairness. Findings are being published in 1998 in academic and popular articles, reports, and a book. Additional funding for the latter project comes from the Russell Sage and Arca foundations.

Jeff Faux, President, or Ruy A. Teixeira, Director, Politics and Public Opinion Program, Economic Policy Institute.

Harvard University, Cambridge, MA. Project on the future of democratic governance. One year, \$200,000.

Harvard University's John F. Kennedy School of Government is conducting a project on the role of government in the twenty-first century. Issues such as the meaning of citizenship, people's expectations of government, and the impact of the devolution of specific governmental responsibilities from the federal to the state and local levels are being considered. In debates that have been broadcast on C-SPAN, discussants from around the world have analyzed papers prepared by Harvard scholars. Books and working papers will result from the project, which is also funded by individuals, the Christian Johnson Foundation, and the Henry J. Kaiser Family Foundation.

Joseph S. Nye, Jr., Dean, John F. Kennedy School of Government.

Center for Governmental Studies, Los Angeles, CA. National resource center for state and local campaign finance reform and expansion of its interactive multimedia political communications project. Eighteen months, \$250,000.

The Center for Governmental Studies encourages innovative approaches to improving democratic government. With support from several foundations, it is expanding three of its projects. The National Resource Center for State and Local Campaign Finance Reform is organizing a clearinghouse of campaign finance laws and convening conferences on relevant reforms. The Democracy Network, an interactive online video voter guide, is being evaluated for its effectiveness in promoting political participation. The template for Connect L.A., a system of online video, audio, and textual information for low-income residents of Los Angeles, will be provided to local governments, civic organizations, and housing developments nationwide.

Tracy Westen, President, Center for Governmental Studies.

Center for Public Integrity, Washington, DC. Support. One year, \$150,000.

In 1996 the Center for Public Integrity released *The Buying of the President*, by executive director Charles Lewis (Avon Books), which tracked campaign contribution records for each presidential candidate and assessed what contributors received for their investment. Sequels are planned for future presidential elections. Staff members are now studying congressional records to determine how financial contributions influence laws and policies on issues such as food prices, the environment, and workplace safety. The results will be published in 1998. The center is also helping several states computerize their legislatures' campaign finance records and is educating local media on how to use the data. Other foundations provide additional support.

Charles Lewis, Executive Director, Center for Public Integrity.

William J. Brennan, Jr., Center for Justice, New York, NY. Public education campaign on *Buckley v. Valeo's* role in campaign finance reform. One year, \$75,000.

In the 1976 decision *Buckley v. Valeo*, the U.S. Supreme Court declared that mandatory campaign spending limits were an unconstitutional infringement of free speech. With funding from other foundations, the Brennan Center for Justice, which is affiliated with New York University School of Law, is stimulating debate aimed at encouraging the Court to revisit this decision. In addition to holding a mock Supreme Court on *Buckley*, the center convened three conferences of law scholars who discussed how best to reformulate constitutional doctrine governing campaign finance law. Center staff members informed local, state, and federal legislators about how *Buckley* has hindered efforts to reform campaign finance practices.

E. Joshua Rosenkranz, Executive Director, William J. Brennan, Jr., Center for Justice.

Western States Center, Portland, OR. Research and public education on money in politics. Two years, \$150,000.

The Western States Center works to build the capacity of nonprofit citizen organizations in the eight-state region to educate their constituencies, train leaders in civic skills, and participate in the electoral process. One of its four efforts is the Money in Western Politics project, which monitors the role of campaign contributions in local and state elections. The project's computer database of more than 500,000 identified campaign contributions — the largest regional database in the nation — is available through the Internet for consultation by public officials, journalists, representatives of citizens' organizations, and other campaign finance researchers. The project receives further support from other foundations.

Samantha Sanchez, Director, Money in Western Politics, Western States Center.

Northeast Citizen Action Resource Center, Hartford, CT. Research on campaign finance and a project on civic education. Two years, \$150,000.

The Northeast Citizen Action Resource Center, which is also supported by other foundations, aims to increase public participation in decision making on issues affecting New England and New York. Its state coalitions receive technical assistance in policy formulation, media outreach, fund-raising, and board and staff development. Its Money and Politics Project supports efforts in Connecticut, Massachusetts, and Vermont to build a consensus for campaign finance reform, while its Voter Education and Community Leadership Project uses training sessions, mentorships, internships, and community networking to help young and disadvantaged citizens become effective participants in civic life.

Marc Caplan, Executive Director, Northeast Citizen Action Resource Center.

Democracy South, Chapel Hill, NC. Research and public education on money in politics. Two years, \$150,000.

Democracy South promotes civic responsibility and positive change through research, investigative reporting, and grassroots organizing. It is creating partnerships with similar groups in the South, which receive training in ways to broaden support for government accountability, citizen participation, and campaign finance reform. Through a project on money in politics in eleven southeastern states, also supported by the Arca, Z. Smith Reynolds, and John and Florence Schumann foundations, Democracy South is comparing state regulatory systems, assessing how much money they track, and focusing on innovative practices. The results were released at a May 1997 conference.

Bob Hall, Research Director, Democracy South.

Lawyers' Committee for Civil Rights Under Law, Washington, DC. Support of the Voting Rights Project. Three years, \$500,000.

The Lawyers' Committee for Civil Rights Under Law, which works to expand citizens' participation in the electoral process, has affiliates in eight cities. Its Voting Rights Project, also funded by the Ford and Rockefeller foundations, monitors civil rights enforcement by the U.S. Department of Justice, litigates voting rights cases, and offers the public information on redistricting and voting rights. The project is continuing to monitor enforcement of the National Voter Registration Act of 1993, which requires states to allow citizens to register by mail and to offer voter registration as part of applying for driver's licenses, public assistance, food stamps, Medicaid, and state-funded disability assistance.

Barbara R. Arnwine, Executive Director, Lawyers' Committee for Civil Rights Under Law.

National Urban League, New York, NY. Its national public policy and advocacy work. One year, \$250,000.

Since its establishment in 1910, the National Urban League has helped African Americans attain social and economic equality of opportunity. Through a new department responsible for policy, research, and advocacy, league staff members monitor national policy developments, hold policy forums, present congressional testimony, and write op-ed columns and other articles for the public. Race relations, affirmative action, welfare reform, and youth development programs as an antidote to violence are among the subjects covered. The league videotapes the policy forums and makes the tapes available to its 115 affiliates, which offer them to local commercial, public television, and cable access channels.

Hugh B. Price, President, National Urban League.

Institute for the Arts of Democracy, Brattleboro, VT. The American News Service. One year, \$100,000.

In 1995 the Institute for the Arts of Democracy, better known as the Center for Living Democracy, created the American News Service. Modeled on the Associated Press news wire, it provides analyses of citizen-led initiatives that address social and economic problems in such areas as race relations, education, and health care. Initial subscribers — nearly 1,700 newspapers and radio and television stations — obtained stories free by e-mail, mail, fax, and the World Wide Web. The center, which receives additional support from private contributions and other foundations, has developed a marketing plan and is beginning to charge subscriber fees.

Frances Moore Lappé, Codirector, Institute for the Arts of Democracy.

National Civic League of Colorado, Denver, CO. Community renewal activities of the Alliance for National Renewal. Sixteen months, \$100,000.

As part of a broad-based movement to revitalize U.S. communities' civic spirit, the National Civic League in 1994 formed the Alliance for National Renewal. The alliance, a network of 160 national and local organizations that serve as catalysts for efforts variously referred to as new citizenship, civic democracy, and community building, is working with three cities and towns in different regions of the country to launch community renewal projects. The league will document practical solutions and share results with additional communities as a way of motivating them to engage in civic renewal. Funding also comes from other foundations and the Farmers Insurance Group.

Christopher T. Gates, President, National Civic League of Colorado.

Center for Community Change, Washington, DC. Increasing the public policy capacity of community-based organizations. One year, \$150,000.

Nonprofit organizations that serve low-income populations are recognizing the need to better understand and contribute to local and state policymaking. The Center for Community Change furnishes technical assistance to more than 200 such groups. In addition to helping them formulate policies to improve poor communities' access to credit and banking, it is launching an education campaign about recent changes in federal antipoverty programs. The center is supporting citizens' efforts to monitor the impact of the changes and encouraging grassroots groups to involve their constituencies in voter registration and voter education. Funding also comes from individuals, corporations, and other foundations.

Pablo Eisenberg, Executive Director, Center for Community Change.

National Immigration Forum, Washington, DC. Balanced media coverage of immigration issues and its project to promote citizenship. Two years, \$150,000.

The National Immigration Forum promotes fair policies and programs affecting immigrants in the United States and the communities where they live. Its five regional coalitions are multiethnic organizations located in Boston, Chicago, Los Angeles, New York, and San Francisco. Through its Citizenship 2000 project launched in 1995, the forum and the coalitions work with grassroots groups to encourage immigrants to complete the application for naturalization and to participate in the democratic process. With further support from the Norman and Ford foundations, it is devising ways to offer accurate data on immigration to journalists, policymakers, and the public.

Frank Sharry, Executive Director, National Immigration Forum.

Massachusetts Immigrant and Refugee Advocacy Coalition, Boston, MA. Coordination of a national citizenship outreach program. One year, \$125,000.*

Under Citizenship 2000, the National Immigration Forum, representatives of its five coalitions, and 350 community groups are educating U.S. immigrants about the process and the importance of naturalization. Besides developing a civic education curriculum for citizenship and for adult education classes, they are analyzing ways to increase immigrants' civic participation and to provide information about opportunities for joining community groups and running for school boards and city councils. The groups have organized the registration of 300,000 new citizens over the past year. The Massachusetts Immigrant and Refugee Advocacy Coalition serves as national coordinator.

Muriel Heiberger, Executive Director, Massachusetts Immigrant and Refugee Advocacy Coalition.

*Grant originally made to the Illinois Coalition for Immigrant and Refugee Protection.

National Asian Pacific American Legal Consortium, Washington, DC. Support. Two years, \$300,000.

Asian Pacific Americans, who now constitute 3 percent of the U.S. population, are the nation's fastest-growing group. In collaboration with regional and national Asian Pacific American advocacy groups, the National Asian Pacific American Legal Consortium provides technical assistance to community-based groups in voting and language rights, immigration and naturalization, and civic participation. It also monitors incidents of anti-Asian violence and educates the public and policymakers about the problem. Individuals and other foundations provide further support.

Karen K. Narasaki, Executive Director, National Asian Pacific American Legal Consortium.

NALEO Educational Fund, Los Angeles, CA. National U.S. citizenship project. Two years, \$250,000.

The National Association of Latino Elected and Appointed Officials (NALEO) Educational Fund promotes Latinos' participation in the nation's civic life. Its U.S. citizenship program consists of naturalization application workshops; a hot line giving information and referrals; and, with the Immigration and Naturalization Service (INS), coordination of final interviews and testing outside the INS's offices. Its two-year goal, funded also by corporations and other foundations, is to help roughly 60,000 legal residents, including the elderly and disabled, many of whom are being adversely affected by new welfare restrictions. NALEO is therefore training additional volunteers to lead citizenship workshops in their communities.

Arturo Vargas, Executive Director, NALEO Educational Fund.

Hermanidad Mexicana Nacional Legal Center, North Hollywood, CA. National citizenship project. Sixteen months, \$50,000.

Hermanidad Mexicana Nacional, founded in 1951 as a mutual-aid organization of Spanish-speaking immigrants, provides legal services, education, and advocacy for Hispanic immigrants and their families. Hermanidad oversees fifteen chapters in California, Illinois, New York, and Washington, D.C. A project coordinator based in Chicago has been hired to promote greater interaction between chapters and affiliates, expand the organization's local citizenship programs, and build networks across the country to increase its reach. Funding is to the Hermanidad Mexicana Nacional Legal Center, the service provider arm of the organization.

Bert N. Corona, National President and Director, Hermanidad Mexicana Nacional Legal Center.

Mexican American Legal Defense and Educational Fund, Los Angeles, CA. Research and public education on affirmative action. Fifteen months, \$200,000.

Americans for a Fair Chance, a consortium of six civil rights organizations, is preparing publications, press kits, and a World Wide Web site on the subject of affirmative action. The aim is to educate the public about the benefits of equal opportunity measures in college admissions, employment recruitment, and incentive programs in federal contracting that offer historically underrepresented groups and others a fair chance to participate fully in society. In addition, training workshops are being held to help local and national groups participate effectively in the public debate over issues in affirmative action. The work is managed by the Mexican American Legal Defense and Educational Fund, a member of the consortium.

Antonia Hernández, President and General Counsel, Mexican American Legal Defense and Educational Fund.

Pacific Council on International Policy, Los Angeles, CA. Support. Thirty months, \$200,000.

The Pacific Council on International Policy, based at the University of Southern California, is an affiliate of the Council on Foreign Relations. Its nearly 600 members, comprising government and private sector leaders, attend retreats and briefings on economic regionalism, emerging markets, and ethnic conflict and the implications of these issues for the western states and the nation. Besides organizing task forces and study groups around specific policy issues, the council is preparing a directory of institutions concerned with developments in the Pacific Rim, publishing a thrice-yearly policy briefing newsletter, and creating a World Wide Web site. Additional funding comes from other foundations.

Abraham F. Lowenthal, President, Pacific Council on International Policy.

civicus: World Alliance for Citizen Participation, Washington, DC. Support. One year, \$75,000.

civicus: World Alliance for Citizen Participation is a confederation of some 260 nonprofit and philanthropic organizations dedicated to strengthening citizen action and civil society worldwide. Three task forces formed to develop the institutional infrastructure of the international nonprofit sector are examining strategies to increase the sector's visibility, reporting on universal legal principles governing citizen participation in civil society, and producing a book on the sustainable funding of civil society organizations. civicus, which receives further funding from individuals, other foundations, membership dues, and earned income from book sales and conference registrations, held its biennial world assembly in Budapest in September 1997.

Miklós Marschall, Executive Director, civicus: World Alliance for Citizen Participation.

National Committee for Responsive Philanthropy, Washington, DC. Support. Three years, \$75,000.

The devolution of federal programs to the states is increasing demands on the nonprofit sector to help meet disadvantaged groups' needs. The National Committee for Responsive Philanthropy works to increase private funding to serve these populations and assists new organizations, such as local alternative funds and women's funding networks, working on their behalf. The committee's current and planned research projects include analyses of corporate giving by industry, philanthropic support to low-income communities and to civil rights and community development groups, and the impact of conservative foundations on public policy. Other foundations also provide support.

Robert O. Bothwell, President, National Committee for Responsive Philanthropy.

National Council of Nonprofit Associations, Washington, DC. Support. One year, \$75,000.

The National Council of Nonprofit Associations is a network of thirty-five state and regional associations that comprise 20,000 community-based organizations. In addition to providing its members with information, technical assistance, and professional development opportunities, it works to increase public understanding of the role of nonprofit groups and of public policies that affect them. Among the council's printed materials are an annual publication on state tax trends, a directory of nonprofit associations, a monthly news bulletin, and a manual to help interested parties start a state association of nonprofit organizations. Other foundations provide additional funding.

Ann Mitchell Sackey, Executive Director, National Council of Nonprofit Associations.

MEM Associates, New York, NY. Research and writing by Barbara Denning Finberg on strengthening the independent sector of U.S. society. Three years, \$461,400.

More than one million nonprofit organizations, created for charitable, educational, and scientific purposes, make up the independent sector in the United States. Yet policymakers, journalists, the public, and those who are employed by, and who volunteer in, the sector lack basic information about its size, nature, or contributions to American life. The Corporation's former executive vice president, Barbara Denning Finberg, is preparing a handbook on the sector for these audiences. She is also analyzing issues regarding the tax-exempt status of independent sector organizations and the tax deductibility of contributions to them.

Barbara Denning Finberg, c/o MEM Associates.

Columbia University, New York, NY. Oral history of Carnegie Corporation of New York. Two years, \$565,000.

Between 1966 and 1970, the Columbia University Oral History Research Office conducted interviews about Carnegie Corporation with seventy-four persons associated with the foundation during its first fifty-eight years. The resulting transcribed testimony covers the Corporation's history and such areas of grantmaking as adult education, national security policy, and the social sciences. In an effort to update this oral history, the office is interviewing sixty persons who are or have been involved in formulating the policies and directions of the Corporation since 1968. Forty-five hours of the interviews are being videotaped.

Mary Marshall Clark, Associate Director, Oral History Research Office, Columbia University.

SCIENCE POLICY

Carnegie Corporation of New York, New York, NY. Carnegie Commission on Science, Technology, and Government. Appropriation administered by the officers of the Corporation. One year, \$90,000.

From 1988 to 1993, when it finished its formal work, the Carnegie Commission on Science, Technology, and Government produced nineteen reports suggesting ways that government at all levels could better deal with advances in science and technology. Many of the recommendations have been acted on, including the creation of a permanent organization to improve cooperation among federal and state governments to advance science and technology programs and clarify current policies. The commission reconvened in late 1996 to review its impact to date and to consider possible responses to government cutbacks in funding science and technology. A formal report will synthesize the members' discussions.

Geraldine P. Mannion, Program Officer, Carnegie Corporation of New York.

Battelle Memorial Institute, Columbus, OH. State Science and Technology Institute. Two years, \$225,000.

The report of the Task Force on Science, Technology, and the States of the Carnegie Commission on Science, Technology, and Government recommended the creation of an independent entity to improve cooperation between states and the federal government and to advance state science and technology policy. The State Science and Technology Institute, launched in 1996 as a subsidiary of Battelle Memorial Institute, offers advice on cooperative technology programs to government, industry, and universities. The new institute, which is also funded by states, other foundations, and its own research projects, issues a weekly report on federal science and technology activities and a quarterly one on state activities.

Dan Berglund, Executive Director, State Science and Technology Institute.

OTHER

WNYC Foundation, New York, NY. Programming for children, for public understanding of the media, and for civic issues. One year, \$200,000.

In 1997 the WNYC Foundation purchased WNYC, New York's public radio station, from the city. WNYC's current and planned programs include *New York Kids*, an award-winning weekly show for eight- to twelve-year-olds intended to stimulate their imagination and to promote a love of learning; *On the Media*, which explores the media in depth and examines its impact on public policy; and *The Citizens' Agenda*, which will offer discussions of civic issues, particularly those arising during presidential and congressional elections. Funding also comes from corporations and other foundations.

Laura Walker, President and CEO, WNYC Foundation.

Public Radio International, Minneapolis, MN. Global news program. Two years, \$200,000.

With the end of the Cold War, U.S. citizens have become less concerned with global issues. In 1996 Public Radio International, in collaboration with the BBC World Service in London and WGBH in Boston, launched a weekday radio program, *The World*, which covers issues and developments in other countries. Breaking stories, interviews, documentary segments, live debate, commentary, and music are featured. *The World* is carried on sixty-four public radio stations and is available on the World Wide Web as a way to reach new audiences and encourage listeners to respond. Corporate, foundation, and individual donors provide further support.

Stephen L. Salyer, President and CEO, Public Radio International.

Global Center, New York, NY. Educational outreach and audience development of the series *Rights and Wrongs: Human Rights Television*. One year, \$75,000.

Rights and Wrongs: Human Rights Television, now in its sixth season, is a nonprofit weekly newsmagazine exploring unreported human rights abuses and successes in resolving conflict and building equitable societies. The series, which examines issues too recent to be covered in textbooks, airs on approximately 140 public television stations and is carried globally by the Worldnet satellite of the U.S. Information Agency. Its World Wide Web site is being updated, and additional videotapes are being distributed to secondary schools, universities, colleges, and nongovernmental groups. Additional funders include other foundations and the Corporation for Public Broadcasting.

Rory O'Connor or Danny Schechter, Executive Producers, Global Center.

Yale University, New Haven, CT. Program of United Nations studies. Two years, \$150,000.

Yale University's United Nations Studies program analyzes issues facing UN policymakers and works to train the next generation of UN scholars and practitioners. In 1997 its recommendations for restructuring the Security Council were published as *The Once and Future Security Council* (St. Martin's Press). Program scholars are now studying public attitudes in the United States and elsewhere toward multilateralism and international organizations. The results of a project on the role of international organizations in the restoration and development of free and stable societies, also funded by the Korea Foundation, will be published in 1999.

Bruce M. Russett, Director, United Nations Studies, Yale University.

Harvard University, Cambridge, MA. Study of humane creativity. Eighteen months, \$150,000.

Society can learn much from persons who have successfully fused creative and humane concerns. Three psychologists — Howard E. Gardner of Harvard University, Mihaly Csikszentmihalyi of the University of Chicago, and William Damon of Stanford University — are studying the concept of humane creativity and its relationship to social responsibility across six domains: the law, the military, nursing, the sciences, musical performance, and the news media. They are interviewing a range of persons in an effort to identify exemplars of humane creativity and to determine the incentives within organizations that encourage or impede ethical acts. Findings will be presented to academics through published reports and to the public through books, articles, and interviews. The William and Flora Hewlett Foundation and the Ross Family Foundation also support the project.

Howard E. Gardner, Professor, Harvard Graduate School of Education.

Carnegie Corporation of New York, New York, NY. Research and writing by David A. Hamburg, M.D., in the areas of conflict resolution and education and health of children and youth. Appropriation administered by the officers of the Corporation. Three years, \$866,000.

Building on the programs developed during his tenure, the Corporation's president emeritus, David A. Hamburg, is writing two books. The first will be a comprehensive volume on conflict prevention and resolution that moves from individual and family conflicts to the broader area of ethnic, religious, and nationalist conflicts. The second book will examine the health and educational needs integral to middle childhood and late adolescence. This appropriation covers Hamburg's research and administrative costs.

Geraldine P. Mannion, Program Officer, Carnegie Corporation of New York.

DISCRETIONARY GRANTS

Council for Excellence in Government, Washington, DC
Toward a leadership forum for new presidential appointees, \$25,000

Historical Society of Western Pennsylvania, Pittsburgh, PA
Toward educational programs of the Senator John Heinz Pittsburgh Regional History Center, \$25,000

Karolinska Institutet, Stockholm, Sweden
Toward travel for participants in an India-Pakistan dialogue in the health sciences, \$25,000

New York Regional Association of Grantmakers, New York, NY
Toward membership support in 1997 and 1998, \$20,000

New York Women's Foundation, New York, NY
Toward an internship program in honor of Barbara Denning Finberg, \$25,000

Northeast Citizen Action Resource Center, Hartford, CT
Toward planning a funders' collaborative to support
statewide citizens' coalitions, \$25,000

Public Citizen Foundation, Washington, DC
Toward a seminar on constitutional issues in campaign
finance reform, \$25,000

University of Texas, Austin, TX
As a final grant toward the publication of essays on
restoring broadly shared prosperity, \$25,000

Window to the World Communications, Chicago, IL
Toward the WTTW Minow Fellowship in Broadcast
Journalism, \$25,000

Publications and Nonprint Materials

In seeking to fulfill Andrew Carnegie's mission to promote "the advancement and diffusion of knowledge and understanding," the Corporation funds studies, research and writing, and similar projects that result in printed materials for public dissemination. More than 1,000 books, reports, textbooks, and curricula have been published with Corporation grants in the past fourteen years. Although a high proportion are intended for academic and professional readers and other specialists, quite a few have reached a broad audience, and the ideas have taken root in policy and practice. Among recent publications that explore issues central to the Corporation's programs are *The Buying of the President*, by Charles Lewis (Avon Books), *Safe Passage: Making It Through Adolescence in a Risky Society*, by Joy Dryfoos (Oxford University Press), *Within Our Reach: Breaking the Cycle of Disadvantage*, by Lisbeth B. Schorr (Anchor Press), and *What Matters Most: Teaching for America's Future* (National Commission on Teaching & America's Future).

The addition of audio, visual, and computer-based materials to the list of published works reflects ever more fully Andrew Carnegie's precept that "only in popular education can man erect the structure of an enduring civilization." The wealth of videotapes and CD-ROMs produced in the last year testifies to the Corporation's increased support of high-quality audio-visual materials, particularly those for children. Electronic publishing, moreover, has become an increasingly important arena for dissemination, and many of the Corporation's grantees now have Web sites.

The following selections of publications and nonprint materials resulting from grants were received in 1996-97. They are listed by program area.

CHILDREN AND YOUTH

Algebra, second edition, teachers edition, by John W. McConnell et al. (Glenview, IL: Scott, Foresman and Company, 1996)

Child Care in the Context of Welfare "Reform": Confronting the New Politics of Child and Family Policy in the United States, Report IV, edited by Sheila B. Kamerman and Alfred J. Kahn (New York, NY: Columbia University School of Social Work, 1997)

"Excellence in Teaching: Agenda for Partnership," vhs videotape (New Haven, CT: Yale-New Haven Teachers Institute, 1997)

Improving Schooling for Language-Minority Children: A Research Agenda, edited by Diane August and Kenji Hakuta (Washington, DC: National Academy Press, 1997)

"In the Mix: Discussion Starters," vhs videotape (New York, NY: Castle Works, 1996)

Kinetic City Super Crew, kit containing pamphlets, Kinetic City Super Crew Poster, Home Crew Hands-On activity postcards, Home Crew journals, tune-in guides, Kinetic City Express Journals, broadcast schedule, letter to parents, letter to teachers, overview, supplies and suggestions sheet, and answers to puzzles in the journal sheet (Washington, DC: American Association for the Advancement of Science, 1995)

"Kinetic City Super Crew: Hot Tempered Farmers, or the Case of the Barbequed Barns," audiotape (Washington, DC: American Association for the Advancement of Science, 1996)

The Magic School Bus, VHS videotapes (New York, NY: Scholastic Productions, 1996)

"The Magic School Bus Gets Planted"

"The Magic School Bus in a Beehive"

"The Magic School Bus Under Construction"

Mathline Series, VHS videotapes (Alexandria, VA: Public Broadcasting Service, 1995 and 1996)

"Magnifying Math Power," videoconference

"Mathline Live Kick-Off"

"Mathline Senate Demonstration"

"Mathline: White House Presentation"

Merrow Report, kits containing VHS videotapes and pamphlet (New York, NY: Learning Matters, 1996)

"Early Learning"

"Searching for Heroes"

Middle School Math Project and Elementary School Math Project, 1996–1997, kit containing facilitator training manual, team guide, facilitator roundtable audiotape, program materials, and facilitator tools (Alexandria, VA: Public Broadcasting Service, 1996)

Resources for Science Literacy: Professional Development, Project 2061 kit containing CD-ROM (Washington, DC: American Association for the Advancement of Science, 1997)

What Matters Most: Teaching for America's Future (New York, NY: National Commission on Teaching & America's Future, 1996)

PREVENTING DEADLY CONFLICT

Bridging the Gap: A Future Security Architecture for the Middle East, by Shai Feldman and Abdullah Toukan

(Lanham, MD: Rowman & Littlefield, 1997)

Civil–Military Relations and Democracy, edited by Larry Diamond and Marc F. Plattner (Baltimore, MD: Johns Hopkins University Press, 1996)

Cooperation and Conflict in the Former Soviet Union: Implications for Migration, edited by Jeremy R. Azrael and Emil A. Payin (Santa Monica, CA: RAND Center for Russian and Eurasian Studies, 1996)

Cooperative Business Ventures Between U.S. Companies and Russian Defense Enterprises, edited by David Bernstein (Stanford, CA: Institute for International Studies, 1997)

Global Habit: The Drug Problem in a Borderless World, by Paul B. Stares (Washington, DC: Brookings Institution, 1996)

A House No Longer Divided: Progress and Prospects for Democratic Peace in South Africa, report of the Carnegie Commission on Preventing Deadly Conflict (New York, NY: Carnegie Corporation of New York, 1997)

Nationalism and Ethnic Conflict, edited by Michael E. Brown, Owen R. Côté, Sean M. Lynn-Jones, and Steven E. Miller (Cambridge, MA: MIT Press, 1997)

A New U.S. Policy Toward India and Pakistan, by Richard N. Haass and Gideon Rose (New York, NY: Council on Foreign Relations, 1997)

Power Sharing and International Mediation in Ethnic Conflicts, Perspectives Series, by Timothy D. Sisk (Washington, DC: United States Institute of Peace Press, 1996)

The Price of the Past: Russia's Struggle with the Legacy of a Militarized Economy, by Clifford G. Gaddy (Washington, DC: Brookings Institution, 1996)

Russia in the World Arms Trade: Strategies, Politics, and Economics, edited by Dmitri Trenin and Andrew Pierre (Washington, DC: Carnegie Endowment for International Peace, 1996)

Sharpening International Sanctions: Toward a Stronger Role for the United Nations, by John Stremlau, report of the Carnegie Commission on Preventing Deadly Conflict (New York, NY: Carnegie Corporation of New York, 1996)

U.S. and Russian Policymaking with Respect to the Use of Force, edited by Jeremy R. Azrael and Emil A. Payin (Santa Monica, CA: RAND Center for Russian and Eurasian Studies, 1996)

Unfinished Peace: Report of the International Commission on the Balkans, by Leo Tindemans (Washington, DC: Brookings Institution, 1996)

The Warning-Response Problem and Missed Opportunities in Preventive Diplomacy, by Alexander L. George and Jane E. Holl, report of the Carnegie Commission on Preventing Deadly Conflict (New York, NY: Carnegie Corporation of New York, 1997)

World Transformed: Our Reflections on Ending the Cold War, TV summit with George Bush, Mikhail Gorbachev, François Mitterrand, Brian Mulroney, and Margaret Thatcher at the Cold War Conference, Colorado Springs, CO, October 8-9, 1995, vhs videotape (Houston, TX: Houston Public Television, 1996)

DEVELOPING COUNTRIES

The African Experience with Higher Education, by J. F. Ade Ajayi, Lameck K. H. Goma, and G. Ampah

Johnson (Accra-North, Ghana: Association of African Universities, 1996)

America's Vital Interest in Global Health: Protecting Our People, Enhancing Our Economy, and Advancing Our International Interests (Washington, DC: National Academy Press, 1997)

"Education Is Important: The Girls Know It," vhs videotape (Nairobi, Kenya: Forum for African Women Educationalists, 1996)

Empowering Women for the 21st Century: The Challenges of Politics, Business, Development and Leadership, by Ayodele Aderinwale, summary report of the ninth annual conference of the Africa Leadership Forum (Abeokuta, Nigeria: Africa Leadership Forum, 1997)

Improving Aid to Africa, by Nicolas van de Walle and Timothy A. Johnston (Washington, DC: Overseas Development Council, 1996)

Profiles of African Scientists, third edition (Nairobi, Kenya: African Academy of Sciences, 1996)

Science-Based Economic Development: Case Studies Around the World, Annals of the New York Academy of Sciences, Volume 798, edited by Susan U. Raymond (New York, NY: New York Academy of Sciences, 1996)

"Take Care: A Video about Cervical Cancer," vhs videotape (Harare, Zimbabwe: Women's Action Group, 1996)

"Women's Right to Health," vhs videotape (Geneva, Switzerland: World Health Organization, 1996)

SPECIAL PROJECTS

"Church Burnings," audiotape by Democracy Now radio program (Berkeley, CA: Pacifica Radio Archive, 1996)

The Crayon Box that Talked, kit containing one videotape with one 30-second TV spot and one 90-second TV spot, box of four crayons, advertising update sheet, and one contact sheet (Washington, DC: Leadership Conference Education Fund, 1996)

Democracy and Development in Africa, by Claude Ake (Washington, DC: Brookings Institution, 1996)

Economic Analyses at EPA: Assessing Regulatory Impact, edited by Richard D. Morgenstern (Washington, DC: Resources for the Future, 1997)

Economic Effects of Fundamental Tax Reform, edited by Henry J. Aaron and William G. Gale (Washington, DC: Brookings Institution, 1996)

Informed Legislatures: Coping with Science in a Democracy, CSIA Occasional Paper, No. 11, by Megan Jones, David H. Guston, and Lewis M. Branscomb (Lanham, MD: University Press of America, 1996)

"It's Time for a Change," by Project Vote Smart, VHS videotape (Corvallis, OR: Center for National Independence in Politics, 1994)

The 1997 Prune Book: Making the Right Appointments to Manage Washington's Toughest Jobs, by John H. Trattner (Washington, DC: Council for Excellence in Government, 1997)

"Positive," AIDS awareness film for teens, VHS videotape (New York, NY: Protection Productions, 1993)

Problems of Democratic Transition and Consolidation: Southern Europe, South America, and Post-Communist Europe, by Juan J. Linz and Alfred Stepan (Baltimore, MD: Johns Hopkins University Press, 1996)

Sovereignty as Responsibility: Conflict Management in Africa, by Francis M. Deng et al. (Washington, DC: Brookings Institution, 1996)

The State of Asian Pacific America: Reframing the Immigration Debate, edited by Bill Ong Hing and Ronald Lee (Los Angeles, CA: Leadership Education for Asian Pacifics, 1996)

The State of Working America 1996-97, by Lawrence Mishel, Jared Bernstein, and John Schmitt (Armonk, NY: M.E. Sharpe, 1997)

"Surviving the Revolution," two-part segment on *The NewsHour with Jim Lehrer*, October 23, 1996, and November 13, 1996, VHS videotape (Bethesda, MD: Hedrick Smith Productions, 1996)

"Vote... It Counts," VHS videotape (Hollywood, CA: Moffitt-Lee Productions, 1996)

Working with Congress: A Practical Guide for Scientists and Engineers, second edition, by William G. Wells (Washington, DC: American Association for the Advancement of Science, 1996)

"The World," audiotape covering Yugoslavia, Russia, Italy, Singapore, Mexico, Ecuador, and South Africa (Minneapolis, MN: Public Radio International, 1997)

Report
of the
Treasurer

Carnegie Corporation of New York awarded grants of \$58.6 million during the fiscal year ended September 30, 1997, bringing total grants awarded since the Corporation's inception in 1913 to \$1,198.1 million.

The financial statements for Carnegie Corporation of New York for the fiscal years ended September 30, 1997, and 1996, appear on pp. 101 through 107. The following comments and data supplement that information.

On September 30, 1997, the market value of the Corporation's investments was \$1,536.2 million, compared with \$1,319.4 million on September 30, 1996. Since September 30, 1987, after all spending, the assets have increased by \$729.9 million, or 91 percent, more than twice the rate of inflation over that period.

Financial Highlights

INVESTMENTS

The chart on the bottom of p. 96 is an illustration of investments by asset class at September 30, 1997, and September 30, 1996.

Through its finance and administration committee, the Corporation's board of trustees delegates investment decisions to investment managers who operate within investment policies and guidelines set by the committee. Sixty-three percent of the funds

are managed by three core managers who may invest in domestic and international fixed-income and equity securities. The remaining 37 percent is invested in a variety of other investments, most of which are organized as limited partnerships and similar interests, including hedge funds, absolute return, private equity, and real estate investments. The committee meets periodically with the core managers to review investment performance.

In June 1996, the finance and administration committee approved changes to long-term asset allocation. The resulting target portfolio and the actual percent invested in these categories at September 30, 1997, is shown on the top of p. 96.

As of September 1997, the Corporation has unfunded commitments of about 5.2 percent of assets to real estate investment managers, 2.4 percent to private equity managers, and .4 percent to absolute return

managers. Over the next year or two, the Corporation expects to continue investing in real estate, private equity, and absolute return investments, until the target portfolio is achieved.

While delegating authority for individual investment decisions to outside managers, the trustees retain ultimate responsibility for investment policy, including policy relating to the exercise of public responsibilities by the corporations represented in the investment portfolio.

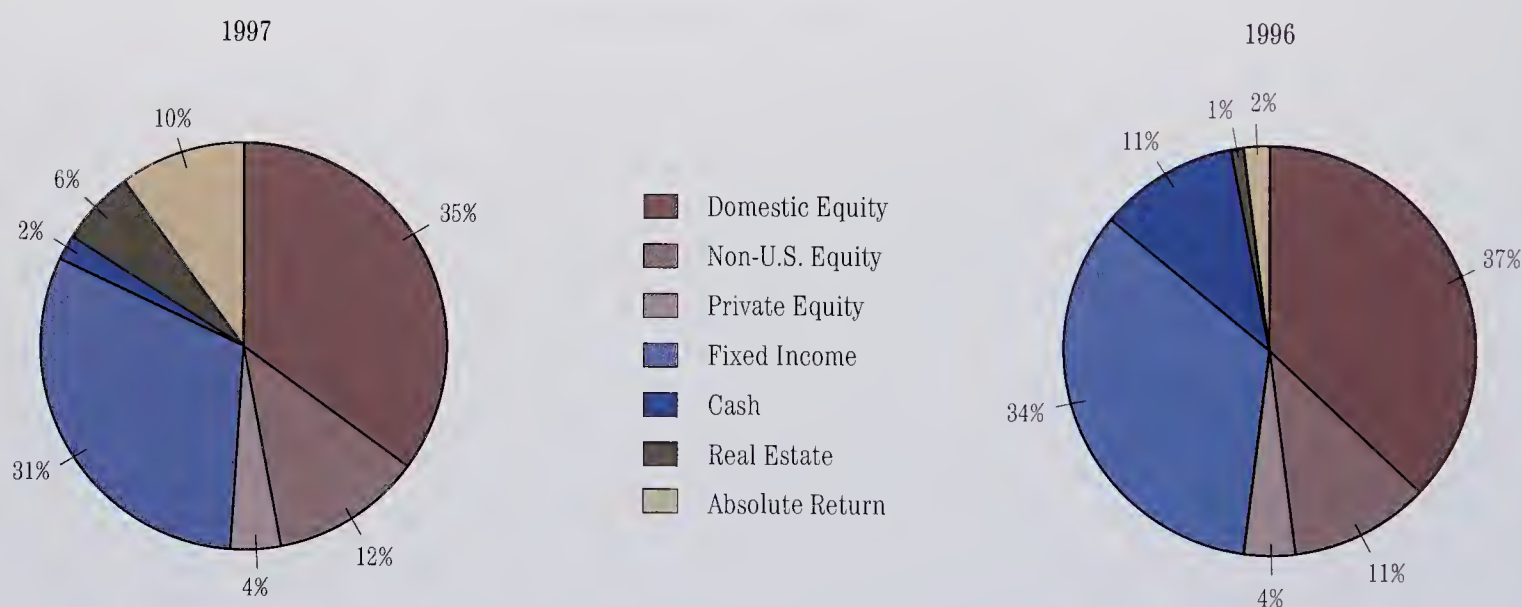
	Target % of total	Actual at September 30, 1997
Domestic equities	30	35
Non-U.S. equities	15	12
Private equities	10	4
Total equities	55	51
Fixed income	20	31
Cash	5	2
Real estate	10	6
Absolute return	10	10
Total portfolio	100%	100%

INVESTMENT PERFORMANCE

The Corporation's principal investment objective is to achieve long-term total return, consisting of capital appreciation as well as dividend and interest income, sufficient to maintain the purchasing power of the assets, while continuing to support the programs of the Corporation. The portfolio

had a total return, net of fees, of 22.8 percent for fiscal year 1997. The average annual rate of return over the last ten years has been 13 percent, compared to returns of 14.7 percent for the Standard & Poor's 500 Index and 9.5 percent for the Lehman Brothers Aggregate Bond Index. After inflation, the average annual real return over the last ten years has been 9.5

INVESTMENTS BY ASSET CLASS*



* Note: This chart is adjusted to account for \$13.8 million in equity index future contracts held at September 30, 1997, and \$25.9 million in equity index future contracts held at September 30, 1996.

percent. The Corporation has paid out 5.9 percent each year on average during this period. After adjusting for inflation and allowing for expenses, an average of 3.6 percent has been added to the value of the Corporation's assets for each of the past ten years.

The graph below illustrates the growth of investment assets in nominal and real dollars for the ten years ended September 30, 1997, using 1987 as the base year. The significant rise in the market value of investment assets over the past ten fiscal years has provided the basis for substantial increases in appropriations during this period.

INVESTMENT INCOME

Interest and dividends for the year were \$44 million, compared with \$41.5 million for the preceding year. The partnerships had a gain of \$28 million in 1997, compared to \$63 million in 1996. Net realized gains on investments were \$116.3 million, compared to \$76.7 million in 1996. Investment expenses, consisting primarily of asset management

fees, totaled \$4.6 million in the fiscal year ended September 30, 1997, compared to \$4.3 million in the preceding year.

APPROPRIATIONS AND EXPENSES

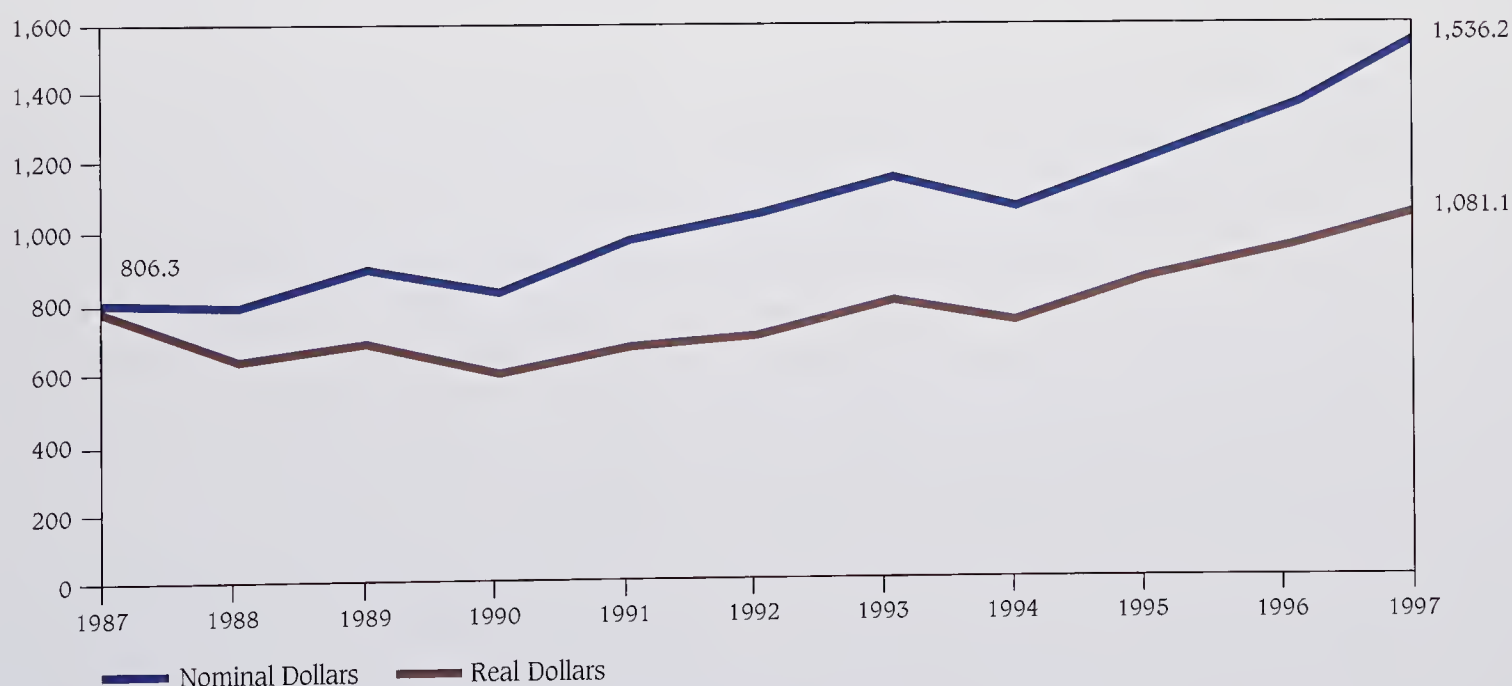
For the ten years ended September 30, 1997, the Corporation awarded 2,853 grants totaling \$491.8 million. It also incurred expenses of \$103.9 million for administration, excluding investment expenses, and \$14.6 million for taxes, for a total of \$610.3 million.

The graph on p. 98 illustrates the growth in expenses by category over the ten-year period ended September 30, 1997. As the graph shows, appropriations made in 1997 are one-and-a-half times the appropriations made in 1988.

Each year the trustees appropriate funds to be used for grants and for projects administered by the officers. Many of the grants involve multiyear commitments. In the fiscal year ended September 30, 1997, 74 percent of the appropriated funds were paid within

INVESTMENTS IN NOMINAL AND REAL DOLLARS
1987-1997

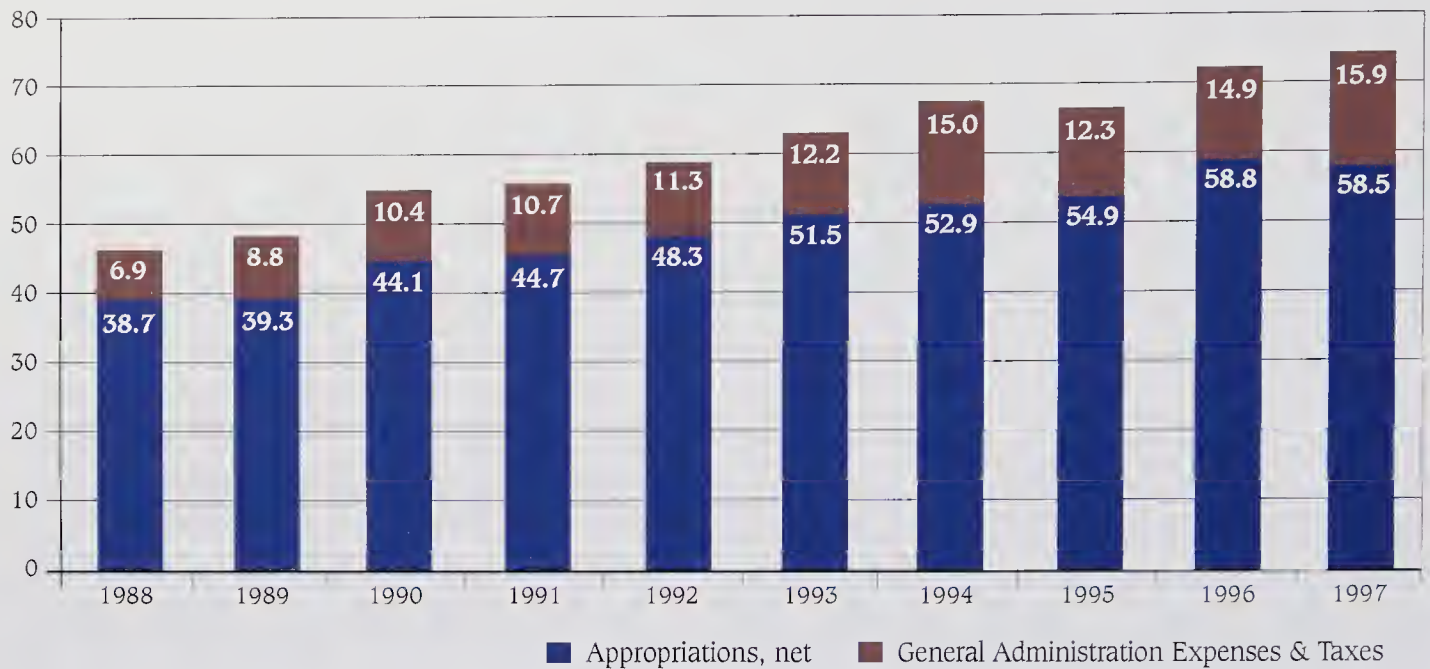
(\$'s in millions)



EXPENSES BY CATEGORY

1988-1997

(\$'s in millions)



the fiscal year. Appropriations, net of refunds and cancellations, totaled \$58.5 million, compared to \$58.8 million in the preceding year.

The general administration and program management expenses were \$10.8 million in the fiscal year ended September 30, 1997, compared with \$10.7 million in the previous fiscal year. Amounts spent for "direct charitable activities" were \$2.5 million in 1997, compared to \$2.6 million in 1996. Direct charitable activities are services provided directly to other exempt organizations, governmental bodies, and the general public. Such services include providing technical assistance to grantees and potential grantees, conducting educational conferences and research, publishing and disseminating educational materials, and serving on boards of other charitable organizations or public commissions.

The schedule on p. 99 breaks down total expenses for the year ended September 30, 1997, into categories.

TAXES

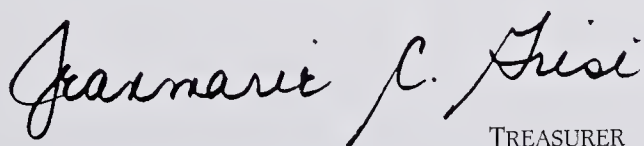
Under the provisions of the Tax Reform Act of 1969, Carnegie Corporation as a private foundation is subject to a federal excise tax of 2 percent on income and realized capital gains. However, under the Tax Reform Act of 1984, the rate is reduced to 1 percent if the foundation maintains its average expense rate of the previous five years and, in addition, spends the tax savings. The Corporation qualified for the reduced tax rate in both fiscal year 1997 and fiscal year 1996. The cumulative tax saved by qualifying in eleven of the previous twelve years was \$14.1 million. Tax expense for the year was \$2.6 million. During 1997, the Corporation had unrelated business income of \$5.9 million from certain investment partnership activities. By carrying forward losses from 1995, the Corporation will offset all but \$2.1 million of 1997 income and, therefore, have an unrelated business income tax liability of \$902,000 for 1997. The deferred tax liability of \$4.3 million represents the potential tax (at 2 percent) on gains as yet unrealized.

	General administration and program management	Investment	Direct charitable activities	Total
Salaries	\$ 4,569,428	\$ 218,908	\$1,039,046	\$ 5,827,382
Investment advisory and custody fees	—	3,979,418	—	3,979,418
Employee benefits	1,758,327	84,688	404,838	2,247,853
Rent	1,363,602	66,088	314,047	1,743,737
Amortization and depreciation	739,198	—	—	739,198
Quarterly and annual reports	79,200	—	514,154	593,354
Office expenses	404,177	19,589	93,084	516,850
Travel	436,133	10,405	14,112	460,650
Trustees' honoraria and expenses	365,068	16,594	—	381,662
Legal and accounting services	110,402	191,356	—	301,758
Conferences and meetings	272,903	1,396	13,195	287,494
Consultants	267,965	—	—	267,965
Computer equipment and services	75,586	3,663	17,408	96,657
Other	412,177	15,295	72,685	500,157
TOTAL	<u>\$10,854,166</u>	<u>\$4,607,400</u>	<u>\$2,482,569</u>	<u>\$17,944,135*</u>

*Total expenses in 1996 were \$17.6 million, which included \$4.3 million of investment expenses and \$2.6 million of direct charitable activities expenses.

AUDIT BY INDEPENDENT ACCOUNTANTS

The bylaws provide that the Corporation's accounts are to be audited each year by an independent public accountant. Accordingly, the firm of KPMG Peat Marwick LLP audited the Corporation's financial statements for the fiscal year ended September 30, 1997. The Corporation's financial statements, together with the independent auditor's report, appear on the following pages.


TREASURER

INDEPENDENT AUDITORS' REPORT

The Board of Trustees
Carnegie Corporation of New York:

We have audited the accompanying balance sheets of Carnegie Corporation of New York as of September 30, 1997 and 1996, and the related statements of changes in unrestricted net assets and cash flows for the years then ended. These financial statements are the responsibility of the Corporation's management. Our responsibility is to express an opinion on these financial statements based on our audits.

We conducted our audits in accordance with generally accepted auditing standards. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Carnegie Corporation of New York as of September 30, 1997 and 1996, and the changes in its net assets and its cash flows for the years then ended in conformity with generally accepted accounting principles.

KPMG Peat Marwick LLP

KPMG Peat Marwick LLP
New York, New York

December 12, 1997

BALANCE SHEETS

September 30, 1997 and 1996

	1997	1996
Assets		
Cash	\$ 128,727	\$ 256,735
Investments — note 3	1,536,238,576	1,319,368,125
Accrued investment income	5,742,674	7,317,339
Refundable taxes — note 5	—	39,331
Prepaid expenses and other assets	81,649	120,144
Fixed assets — note 4	1,180,152	1,788,012
Total assets	<u>\$1,543,371,778</u>	<u>\$1,328,889,686</u>
Liabilities and net assets		
Liabilities		
Grants payable	\$ 16,687,215	\$ 25,830,253
Accounts payable and other liabilities	9,388,978	2,347,133
Taxes payable, net — note 5	600,457	—
Deferred taxes payable — note 5	4,332,279	2,573,711
Total liabilities	<u>31,008,929</u>	<u>30,751,097</u>
Net assets		
Unrestricted	1,377,025,981	1,162,801,721
Permanently restricted (no change)	135,336,868	135,336,868
Total net assets	<u>1,512,362,849</u>	<u>1,298,138,589</u>
Total liabilities and net assets	<u>\$1,543,371,778</u>	<u>\$1,328,889,686</u>

See accompanying notes to financial statements.

STATEMENTS OF CHANGES IN UNRESTRICTED NET ASSETS

for the years ended September 30, 1997 and 1996

	1997	1996
Investment income		
Interest and dividends	\$ 43,990,805	\$ 41,482,234
Income from partnerships	27,987,249	63,007,254
Net realized gain on investment transactions	<u>116,276,716</u>	<u>76,689,738</u>
Total realized investment income	188,254,770	181,179,226
Less investment expenses	<u>4,607,400</u>	<u>4,270,554</u>
Net realized investment income	<u>183,647,370</u>	<u>176,908,672</u>
Expenses		
Grant appropriations, net	53,520,182	52,645,901
Appropriations for projects administered by officers, net	5,002,248	6,160,622
General administration, program management, and direct charitable activities	13,336,735	13,313,214
Provision for taxes, net — note 5	<u>2,590,797</u>	<u>1,558,639</u>
Total expenses	<u>74,449,962</u>	<u>73,678,376</u>
Excess of net realized investment income over expenses	109,197,408	103,230,296
Increase in unrealized appreciation of investments, net of deferred federal excise tax of \$2,143,405 in 1997 and \$96,562 in 1996 — note 5	<u>105,026,852</u>	<u>4,731,523</u>
Increase in unrestricted net assets	214,224,260	107,961,819
Unrestricted net assets, beginning of year	<u>1,162,801,721</u>	<u>1,054,839,902</u>
Unrestricted net assets, end of year	<u><u>\$1,377,025,981</u></u>	<u><u>\$1,162,801,721</u></u>

See accompanying notes to financial statements.

STATEMENTS OF CASH FLOWS

for the years ended September 30, 1997 and 1996

	1997	1996
Cash flows from operating activities:		
Increase in net assets	\$ 214,224,260	\$ 107,961,819
Adjustments to reconcile increase in net assets to net cash (used in) provided by operating activities:		
Change in unrealized appreciation of investments	(107,170,257)	(4,828,085)
Net realized gain on investment transactions	(116,276,716)	(76,689,738)
Depreciation and amortization	739,197	731,705
Deferred federal excise tax provision	1,758,568	99,685
Total adjustments	(220,949,208)	(80,686,433)
Change in accrued investment income, refundable taxes, prepaid expenses, and other assets	1,652,491	732,003
Change in grants payable, accounts payable and other liabilities, and taxes payable	(1,500,736)	(3,440,006)
Net cash (used in) provided by operating activities	(6,573,193)	24,567,383
Cash flows from investing activities:		
Proceeds from sales or redemptions of investments	1,705,042,618	1,486,231,190
Purchases of investments	(1,698,466,096)	(1,510,433,020)
Purchases of fixed assets	(131,337)	(214,303)
Net cash provided by (used in) investing activities	6,445,185	(24,416,133)
Change in cash	(128,008)	151,250
Cash, beginning of year	256,735	105,485
Cash, end of year	<u>\$ 128,727</u>	<u>\$ 256,735</u>

See accompanying notes to financial statements.

NOTES TO FINANCIAL STATEMENTS

for the years ended September 30, 1997 and 1996

(1) Organization:

Carnegie Corporation of New York is a philanthropic foundation that was created by Andrew Carnegie in 1911 to promote the advancement and diffusion of knowledge and understanding. The Corporation has a policy of selecting a few areas at a time in which to concentrate its grants. Currently, it has three major programs: Education and Healthy Development of Children and Youth; Strengthening Human Resources in Developing Countries; and Preventing Deadly Conflict. Grants that do not fit easily into these areas are considered for the Special Projects program.

(2) Summary of significant accounting policies:

The accompanying financial statements have been prepared on the accrual basis of accounting.

Fixed assets are stated at cost. Depreciation is calculated on a straight-line basis over the estimated lives of the related assets. Leasehold improvements are amortized over the remaining life of the lease.

For purposes of the statements of cash flows, cash includes all uninvested cash of the Corporation.

The resources of the Corporation consist of permanently restricted and unrestricted net assets. Permanently restricted net assets represent the original sums received from Andrew Carnegie, who, by the terms of the conveying instrument, stipulated that the principal may never be expended.

The fair value of investments has been determined as indicated in note 3. The carrying amount of cash, accrued investment income, prepaid expenses and other assets, grants payable, and accounts payable and other liabilities approximates fair value because of the short maturity of these financial instruments.

The preparation of financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

(3) Investments:

Equities, fixed income securities, and due to brokers, net, are reported on the basis of quoted market value. Limited partnerships and similar interests are reported at fair value based on financial statements and other information received from the partnerships. The general partner determines the fair value of securities using quoted market prices, if available, or using other valuation methods, including independent appraisals.

NOTES TO FINANCIAL STATEMENTS

for the years ended September 30, 1997 and 1996

Investments are composed of the following at September 30, 1997 and 1996:

	September 30, 1997		September 30, 1996	
	Cost	Market/Fair Value	Cost	Market/Fair Value
Equities	\$ 406,385,533	\$ 526,417,387	\$ 316,750,781	\$ 374,067,452
Fixed income				
Short term	175,959,923	184,129,767	268,353,506	266,334,981
Long term	334,308,542	345,876,458	351,867,430	360,114,057
Limited partnerships and similar interests				
Hedge funds	159,260,605	230,163,739	202,875,463	246,296,722
Absolute return	150,052,830	158,868,912	25,203,479	30,245,054
Real estate	49,904,861	48,055,702	9,175,844	6,357,498
Private equity	34,139,725	44,879,925	25,067,575	34,942,167
Due to brokers, net	(2,208,343)	(2,153,314)	(1,190,596)	1,010,194
Total	<u>\$1,307,803,676</u>	<u>\$1,536,238,576</u>	<u>\$1,198,103,482</u>	<u>\$1,319,368,125</u>

The Corporation uses a market-neutral strategy whereby it purchases long and sells short equities for approximately equal amounts. U.S. equities sold but not yet purchased (short sales) in this strategy are valued at \$69.2 million at September 30, 1997. At September 30, 1996, U.S. equities sold but not yet purchased totaled \$62.7 million, and Japanese equities sold but not yet purchased totaled \$55.6 million. Equities owned in the market-neutral strategy are recorded net in the Corporation's financial statements. Required cash collateral for the short sales is held by the broker, and required collateral in the form of equities is pledged to the broker and held by a third-party safekeeping bank.

As a result of its investing strategies, the Corporation is a party to off-balance-sheet index futures contracts. The Corporation's investment advi-

sors use index future contracts to manage both short-term asset allocation and the duration of the fixed income portfolio. Changes in the market value of these futures contracts are recognized currently in the statement of changes in unrestricted net assets, using the marked-to-market method. However, off-balance-sheet index futures contracts involve, to varying degrees, elements of market risk and credit risk in excess of the amounts recorded on the balance sheet. Market risk represents the potential loss the Corporation faces due to the decrease in the value of the off-balance-sheet financial instruments. Credit risk represents the potential loss the Corporation faces due to the inability of counterparties to meet the terms of their contracts.

NOTES TO FINANCIAL STATEMENTS

for the years ended September 30, 1997 and 1996

The table below summarizes the long and short exchange-traded financial futures positions at September 30, 1997, and September 30, 1996.

	September 30, 1997		September 30, 1996	
	Net number of contracts- long/(short)	Contract value in \$ millions	Net number of contracts- long/(short)	Contract value in \$ millions
<u>Index futures contracts</u>				
S&P 500	29	\$13.8	75	\$25.9
30-year Treasury bond	524	60.4	405	44.2
10-year Treasury note	(40)	(4.4)	83	8.9
5-year Treasury note	437	46.9	263	27.8
2-year Treasury note	132	27.3	46	9.5

The margin requirements on deposit with third-party safekeeping banks for index futures contracts were approximately \$2.2 million at September 30, 1997, and \$2.5 million at September 30, 1996.

The partnerships in which the Corporation invests may also hold index futures and options. These positions are not included in the table above.

The Corporation permits its investment managers to use forward foreign exchange contracts to manage the currency risk inherent in owning securities denominated in foreign currencies. In a forward foreign currency transaction, the Corporation agrees to exchange one currency for another on an agreed-upon date at an agreed-upon exchange rate. At September 30, 1997, the Corporation held forward currency buy contracts and sell contracts with notional amounts totaling \$10 million and \$47.6 million, respectively. At September 30, 1996, the Corporation held forward currency buy contracts and sell contracts with notional amounts totaling \$15.1 million and \$134.1 million, respectively. Such contracts involve, to varying degrees, risks of loss arising either from the potential change in market prices or from the possible inability of counterparties to meet the terms of their contracts. Changes in the value of forward foreign currency con-

tracts are recognized as unrealized gains or losses until such contracts are closed.

The Corporation's investment advisors monitor the financial condition of the firms used for futures and forward foreign currency trading in order to minimize the risk of loss. Exposure limits are placed on firms relative to their credit worthiness. Management does not anticipate that losses, if any, resulting from credit or market risk would materially affect the financial statements.

(4) Fixed assets:

Fixed assets are composed of the following at September 30, 1997 and 1996:

	1997	1996
Leasehold		
improvements	\$3,871,650	\$3,871,650
Furniture and		
equipment	<u>2,686,025</u>	<u>2,554,688</u>
	6,557,675	6,426,338
Less: Accumulated		
amortization and		
depreciation	<u>(5,377,523)</u>	<u>(4,638,326)</u>
Total	<u>\$1,180,152</u>	<u>\$1,788,012</u>

NOTES TO FINANCIAL STATEMENTS

for the years ended September 30, 1997 and 1996

(5) Taxes:

The Corporation is liable for federal excise taxes of 2 percent of its net investment income, as defined, which includes realized capital gains, for the year. However, this tax is reduced to one percent if certain conditions are met. The Corporation met the requirements for the reduced tax for both 1997 and 1996. Therefore, current taxes are estimated at one percent of net investment income, as defined, for 1997 and 1996.

Deferred taxes represent two percent of unrealized appreciation of investments at September 30, 1997 and 1996, as qualification for the one percent tax is not determinable until the fiscal year in which gains are realized.

During 1997, the Corporation had unrelated business income of \$5.9 million from certain investment partnership activities. By carrying forward losses from 1995, taxable income will be reduced to \$2.1 million, which results in an unrelated business income tax liability of \$902,500 for 1997.

The Corporation paid estimated federal excise taxes of \$2,150,000 in 1997 and \$1,660,000 in 1996. The Corporation also paid estimated federal unrelated business income tax of \$225,000 in 1997.

(6) Benefit plans:

The Corporation purchases annuities for qualifying employees under the terms of a noncontributory, defined contribution retirement plan with Teachers Insurance and Annuity Association and College Retirement Equities Fund. Retirement plan expense for the years ended September 30, 1997 and 1996, was \$967,076 and \$994,836, respectively.

In addition, the Corporation has a noncontributory defined benefit annuity plan to supplement the basic plan described above. This plan is also administered by Teachers Insurance and Annuity Association and College Retirement Equities Fund. Contributions to

this plan are based on actuarial calculations. No contribution was required in 1997 or 1996. At December 31, 1996, the assets of the plan exceeded the actuarial present value of accumulated plan benefits by approximately \$865,000.

In addition, the Corporation provides certain medical benefits to its retirees. The cost of providing these benefits was \$78,161 in 1997 and \$94,480 in 1996, on a pay-as-you-go basis.

(7) Lease:

The Corporation occupies office space at 437 Madison Avenue under two sublease agreements. One sublease expires December 30, 1997. The Corporation has entered into a lease agreement with the building landlord effective in 1998 to continue renting this space through December 31, 2003. The second sublease expires on April 14, 2000.

The following is a schedule of the future minimum lease payments at September 30, 1997. Rent for 1998 is net of free rent and work contributions totaling \$775,500 under the new lease beginning in January 1998.

<u>Fiscal year ending September 30</u>	
1998	\$ 523,643
1999	1,132,720
2000	1,174,110
2001	1,221,000
2002	1,254,000
2003-2004	<u>1,567,500</u>
	<u>\$6,872,973</u>

Rental expense for 1997 and 1996, including escalations, was \$1,741,134 and \$1,694,205, respectively.

Report
of the
Secretary

Vartan Gregorian became president of Carnegie Corporation of New York at the end of the June 12, 1997, meeting of the board of trustees. A national leader in higher education and the non-profit sector, he was the unanimous choice of the Corporation's trustees. The

decision was announced just before the board's annual meeting on January 9, 1997, after a year-and-a-half-long search by a committee of eight current and former trustees led by James A. Johnson. Mr. Gregorian is the twelfth president to head the foundation since Andrew Carnegie established it in 1911 "for the advancement and diffusion of knowledge and understanding."

In a career of wide-ranging accomplishments, Mr. Gregorian achieved national and international recognition for his leadership of Brown University and the New York Public Library. As president of Brown from 1989 through the end of the 1996-97 academic year, he led the university through a period of unprecedented revitalization and growth: eleven new departments were established, including American civilization and modern culture and media; more than 200 faculty members were added; and the physical plant was extensively renovated and expanded. Mr. Gregorian also headed a capital campaign that more than doubled the university's endow-

ment. As president and chief executive officer of the New York Public Library from 1981 to 1989, he played a crucial role in reviving a unique cultural resource that was in straitened circumstances when he arrived. During his tenure, he presided over a fund-raising initiative that raised more than \$400 million in new funds for the library's acquisition, modernization, restoration, conservation, and preservation efforts.

Corporate Update

Vartan Gregorian was born in Tabriz, Iran. He completed his secondary education in Beirut, Lebanon, before coming to the United States in 1956, where he entered Stanford University as a freshman. He received his B.A. degree cum laude in history and humanities in 1958 and took his Ph.D., also in history and humanities, from Stanford in 1964. His long and distinguished career in university teaching and administration has included appointments at San Francisco State College and

at the University of Texas at Austin. From 1972 to 1984, he held appointments at the University of Pennsylvania as professor of South Asian history, professor of history, and Tarzian Professor of Armenian and Caucasian History. He also served as the founding dean of the faculty of arts and sciences from 1974 to 1978 and as provost and chief academic officer from 1978 to 1980.

Under Mr. Gregorian's leadership, Corporation staff members are undertaking a thorough review of the foundation's grantmaking programs. The experience and outcomes of activities in the Corporation's previously announced areas of interest are being examined, and possible new issues and directions are being explored. The Corporation expects to announce revised program guidelines in late spring 1998.

MILESTONES

Effective with the June 1997 meeting of the board of trustees, David A. Hamburg retired as president of the Corporation and assumed the title of president emeritus. He took office as president of the foundation in December 1982, coming from Harvard University, where he was directing the Division of Health Policy Research and Education and serving as John D. MacArthur Professor of Health Policy. From 1976 to 1980, he was president of the Institute of Medicine of the National Academy of Sciences. From 1961 to 1976, he was on the faculty of Stanford University, serving as professor and chairman in the department of psychiatry and behavioral sciences (1961 to 1972) and as Reed-Hodgson Professor of Human Biology (1972 to 1976).

During his fourteen-year tenure as the Corporation's president, Dr. Hamburg greatly expanded the foundation's programs in precollege education and renewed interest in Andrew Carnegie's commitment to international peace. Under his direction, the Corporation's grantmaking focused on advancing understanding of child and adolescent development; promoting human resource development in Africa; strengthening democratic institutions in the United States, Africa, the former Soviet Union, and Eastern Europe; and preventing violent conflict among groups.

Dr. Hamburg will remain associated with the Corporation for three years, completing various projects

that he has developed. He continues to serve as cochair, with former U.S. secretary of state Cyrus R. Vance, of the Carnegie Commission on Preventing Deadly Conflict. Launched in May 1994, the commission issued its final report in December 1997. In 1998 Dr. Hamburg will lead the dissemination of the report in the United States and abroad. He also plans to write books on preventing mass violence and on healthy development in childhood and adolescence (see p. 85 for further details).

In recognition of Dr. Hamburg's contributions to the work of Carnegie Corporation, the trustees at the January 1997 board meeting adopted a minute of appreciation, which reads in part, "David has addressed important issues with great courage, vigor, and tact. He has led the Corporation and its staff members with vision and skill. Proud to call him colleague and friend, the trustees anticipate continuing to benefit from his wisdom and counsel as he assumes the role of president emeritus."

Barbara D. Finberg, executive vice president since 1988, retired in June 1997. Her long and distinguished career with the Corporation began in 1959, when she was hired as a part-time editorial associate. As a program officer from 1967 to 1983, she shaped the foundation's program in many areas of child development and education, including early childhood education, parent education, child care, and advocacy on behalf of children's health, care, and education. From 1972 to 1977, she was the staff member responsible for planning and organizing the work of the Carnegie Council on Children, chaired by Kenneth Keniston of Yale University. The council issued several reports on the state of the nation's children, including its final report, *All Our Children: The American Family under Pressure* (1977). She also served as vice president for programs from October 1980 until she was named executive vice president in February 1988. Throughout her career at the Corporation, she has also served with great distinction on a number of foundation and nonprofit boards, including Stanford University, the New York Foundation, the Investor Responsibility Research Center, and the Hole in the Wall Gang Camp

Fund. Since 1990 she has served on the board of Independent Sector, a national leadership forum of more than 800 nonprofit organizations, foundations, and corporate giving programs, and she has been its chair since 1995. In the coming years, she intends to pursue research aimed at strengthening the nonprofit and philanthropic sector of American society, under a Corporation grant.

BOARD OF TRUSTEES AND COMMITTEES

At the January 9, 1997, annual meeting of the board of trustees, Newton N. Minow retired from the board. Mr. Minow, counsel to the Chicago law firm of Sidley & Austin, served as a trustee since December 1986 and as chairman of the board since January 1993. He also served on the agenda committee throughout his tenure, including *ex officio* after his election as chair, and on the finance and administration committee, also *ex officio*, from January 1993.

Former U.S. senator Sam Nunn was elected to a four-year term as trustee at the January meeting. First elected to the Senate in 1972, Mr. Nunn served as chairman of the Senate Armed Services Committee when he left office and is an internationally recognized expert on national security and economic policy. He received bachelor's and law degrees from Emory University.

Thomas H. Kean, president of Drew University and former governor of New Jersey, was elected to a one-year term as chairman of the board at the January meeting. Mr. Kean has been a member of the board since 1991. James P. Comer, a member of the board since 1989, was re-elected vice chairman.

At the same meeting, four trustees were re-elected to second four-year terms ending with the January 2001 meeting: Richard F. Celeste, Teresa Heinz, and Helene L. Kaplan. James D. Watkins, who served a previous four-year term, was re-elected to a one-year term. The board also elected members to one-year terms on the finance and administration committee: James A. Johnson (chairman of the committee), Ms. Kaplan,

Vincent A. Mai, and James J. Renier. Mr. Gregorian and Mr. Kean also serve on the committee *ex officio*.

The nominating committee consists of four trustees, elected to four-year terms, and the president of the Corporation, who serves *ex officio*. Henry Muller, who is chairman, Ms. Heinz, and Marta Tienda were re-elected to full terms on the committee, whose other members are Dr. Comer and Mr. Gregorian.

The agenda committee, an ad hoc committee of the board since 1981, consists of the chairman and president and three other trustees appointed by the chairman for three-year terms. Mr. Nunn was appointed to the vacancy left when Mr. Kean became chairman; Mr. Celeste and Shirley M. Malcom also serve on this committee.

The board of trustees met on October 10, 1996, and on January 9, April 10, and June 12, 1997.

PROJECTS ADMINISTERED BY THE CORPORATION

Projects administered by officers of the Corporation are authorized annually by the Corporation's board of trustees and draw their support from the grants budget. With the change in leadership at the foundation, most of the professionally staffed, multiyear efforts, such as task forces and commissions, have ended or will soon do so. At the end of the fiscal year, the projects consisted primarily of appropriations for the administrative costs of two grants initiatives — the Middle Grade School State Policy Initiative, under which final two-year grants were made in June (see p. 33), and the Starting Points State and Community Partnerships for Young Children (p. 28) — and one staffed project, the Carnegie Commission on Preventing Deadly Conflict (p. 47), which will complete its work in 1999. The staff of the

commission is located at the Corporation's Washington office; Jane E. Holl is executive director. The commission released its final report in December 1997 and will disseminate the results of the report and its other studies.

CORPORATION PUBLICATIONS AND DISSEMINATION

The Corporation undertakes a variety of efforts to make the results of its grants and programs available to the public. In addition to the annual report and president's essay, the Corporation issues the *Carnegie Quarterly*, a serial publication launched in 1956. The *Quarterly* examines particular areas of grantmaking activity or Corporation-sponsored programs, often addressing issues of national and international importance.

The major reports of the Corporation's three recent operating programs addressing the educational and developmental needs of children and youth have been assembled and produced as a set, titled "From Birth to Fifteen: A Comprehensive Approach to Children's Learning and Development." The sets, which contain *Years of Promise* (1996), *Great Transitions* (1995), *Starting Points* (1994), *A Matter of Time*

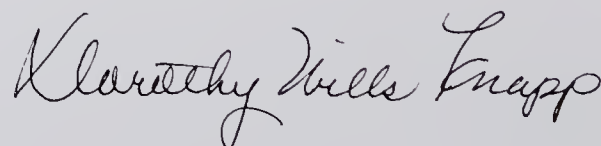
(1992), and *Turning Points* (1989), are available for \$50.00 on request from the Corporation.

The Corporation has also assembled Dr. Hamburg's fourteen essays (1983–96) and produced them in a hardcover book with an introduction by chairman of the board Thomas H. Kean. All the essays emphasize the viewpoints and concepts governing the foundation's grantmaking during his years as president.

The Corporation is increasingly using online publication and dissemination to reach ever wider audiences in a timely manner. The full text of more than fifty recent publications, including president's essays, meeting reports, and occasional papers, are available through the Corporation's World Wide Web site (<http://www.carnegie.org>). Information about recent grants is available on the home page as well as in print through the *Carnegie Newslines*. When the full text of Corporation reports is too lengthy to permit electronic publication, the foundation will make executive summaries available online concurrent with the report's print publication. The conclusion of work on the Carnegie Commission on Preventing Deadly Conflict will permit publication of a large number of reports and studies, many of which will be available electronically at its Web site (<http://www.ccpdc.org>).

Since the creation of the Corporation's Web site in August 1995, its popularity has steadily increased. In October 1997, the site registered more than 35,000 "hits."

We urge all who have access to the Internet to pay the Corporation a virtual visit!



SECRETARY

Guidelines for Grantseekers

Carnegie Corporation of New York awards grants to nonprofit organizations for projects that have potential national or international impact. Approximately seventeen requests for support are submitted to the Corporation for each grant made. In 1996–97, staff members reviewed more than 4,500 requests. Of those turned down, approximately 30 percent were declined because the activities were too local in scope.

The Corporation's fiscal year runs from October 1 to September 30. The budget for grants and appropriations for fiscal 1998 is \$59 million. During the first half of the year, the foundation is undertaking a thorough review of its current program areas and examining possible new directions. Revised guidelines for the Corporation's programs will be issued in late spring 1998. The guidelines will be contained in an updated version of the *General Information* pamphlet and on the Corporation's home page on the World Wide Web (<http://www.carnegie.org>).

Up to 30 percent of the grants budget for fiscal 1998 will be devoted to initial grants in the new program areas. The remaining 70 percent of the fiscal 1998 budget, roughly \$41 million, is being spent in three previously announced areas of concentration — Education and Healthy Development of Children and Youth, Preventing Deadly Conflict, and Strengthening Human Resources in Developing Countries — and in Special Projects, comprising grants that do not fit easily into the first three categories. The programs and projects supported by the foundation during 1996–97 are described in the Report on Program, beginning on p. 23.

In fiscal year 1997, appropriations for operating programs of the Corporation, such as the Carnegie Commission on Preventing Deadly Conflict, and the renewal of previously supported projects limited the availability of grant funds for new activities. Approximately 9 percent of the grants budget was allocated for operating programs; renewals constituted about 72 percent of the grants made and 75 percent of the total budget.

Carnegie Corporation's seventeen-member board meets four times a year, in October, January, April, and June. The trustees set the broad policies of the foundation and have final authority to approve all grants above \$25,000 recommended by the program staff. Grants of \$25,000 or less, called discretionary grants, are made on approval of the president and reported to the board.

HOW TO APPLY FOR A GRANT

There are no application forms, and there are no deadlines for the submission of proposals. The Corporation reviews requests at all times of the year. The staff tries to convey its decision within four months of the receipt of the proposal.

Grantseekers are requested to present a clear and straightforward proposal containing a description of the project's aims, significance, amount of support required, duration, methods, personnel, and budget. Officers review the proposal in light of their knowledge of the field and in relation to the current program priorities. If they wish to pursue matters further, they may request a more developed document. Additional materials may be required, including a for-

mal request from the head of the organization and a more precise budget.

The following points may be helpful in preparing a proposal. Although the questions need not be answered individually, they indicate the types of concerns program staff members have in mind when reviewing requests:

- ▶ What problem does your project address? Why is this issue significant? What is the relationship of the problem/issue to the Corporation's program, as outlined in the foundation's descriptive materials?
- ▶ How will your project or activity deal with the stated problem? What do you intend to demonstrate or prove? What means will you use, and what methodology will you apply? If the project is already under way, what have you accomplished so far?
- ▶ What outcomes do you expect for the project, both immediate and long term? How will you determine the success or effectiveness of your work?
- ▶ What strengths and skills do the organization and personnel bring to this project? What makes this organization the right one to conduct this project?
- ▶ What is the overall cost of the project? How much are you requesting from Carnegie Corporation over how long a period? What other sources of support are you pursuing for this project?
- ▶ What plans do you have to disseminate information to the public about your project?

If your organization is not a college or university and has not applied to Carnegie Corporation before, please include background information — an annual report, an audited financial statement, or a mission statement.

RESTRICTIONS

The Corporation does not make grants for basic operating expenses, endowments, or facilities. Nor does it have a program of fellowships, scholarships, or travel grants.

The Corporation does not generally make grants to individuals, although on rare occasions a highly qualified person will be supported for a project that is central to the foundation's program interests.

The Corporation does not, as a matter of policy, provide to prospective grantseekers copies of proposals that have been funded.

In addition to these general restrictions, there are specific criteria for the acceptance of a proposal pertaining to three program areas:

- ▶ *Education and Healthy Development of Children and Youth.* The foundation does not review requests from individual schools or school districts.
- ▶ *Preventing Deadly Conflict.* With some exceptions, the grants made in this program are to U.S. institutions. No curricular projects of individual schools or colleges are supported. Proposals for media projects are only occasionally funded.
- ▶ *Strengthening Human Resources in Developing Countries.* The Corporation does not accept unsolicited requests that aim to improve understanding of development and developing countries among the U.S. general public and policymakers. Nor does it accept unsolicited proposals concerned with democratic transitions in Africa.

For further information about the grant programs, please refer to the Report on Program.

Trustees 1997-98*

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James A. Johnson, Chairman

Vartan Gregorian (*ex officio*)

Helene L. Kaplan

Thomas H. Kean (*ex officio*)

Vincent A. Mai

James J. Renier

NOMINATING COMMITTEE

Henry Muller, Chairman

James P. Comer¹

Vartan Gregorian (*ex officio*)

Teresa Heinz

Marta Tienda

¹ Through January 8, 1998

² As of January 8, 1998

Staff 1997-98*

CORPORATE

PRESIDENT'S OFFICE

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² Through January 16, 1998

³ Through November 18, 1997

⁴ Through November 7, 1997

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⁶ Through March 31, 1998

⁷ Through February 28, 1998

⁸ Through December 31, 1997

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¹⁰ Time divided evenly between Middle Grade School State Policy Initiative and Starting Points State and Community Partnerships for Young Children

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The Carnegie Philanthropies

Andrew Carnegie was born in Scotland in 1835. He came to the United States with his family in 1848 and went to work as a bobbin boy in a cotton mill. After a succession of jobs with Western Union and the Pennsylvania Railroad, he eventually resigned to establish his own business enterprises and, finally, the Carnegie Steel Company, which launched the huge steel industry in Pittsburgh. At the age of 65, he sold the company and devoted the rest of his life to writing, including his autobiography, and to philanthropic activities, intending to give away \$300 million. He gave away \$311 million.

Gifts to hundreds of communities in the English-speaking world helped to make his idea of the free public library as the people's university a reality. In all, 2,509 libraries were built with Carnegie funds. His endowment of the Carnegie Institute in Pittsburgh brought important educational and cultural benefits to the community in which he made his fortune. From experience he knew the importance of science applied to commerce and industry, and he provided for technical training through the Carnegie Institute of Technology. By establishing the Carnegie Institution of Washington, he helped to stimulate the growth of knowledge through providing facilities for basic research in science.

Mr. Carnegie set up the Carnegie Trust for the Universities of Scotland to assist needy students and to promote research in science, medicine, and the humanities. For the betterment of social conditions in his native town of Dunfermline, Scotland, he set up the Carnegie Dunfermline Trust. To improve the well-being of the people of Great Britain and Ireland, he established the Carnegie United Kingdom Trust.

In the United States, he created The Carnegie Foundation for the Advancement of Teaching primarily as a pension fund for college teachers and also to promote the cause of higher education. To work for the abolition of war, he established the Carnegie Endowment for International Peace. To recognize heroism in the peaceful walks of life as being as worthy as valor in battle, he created funds in the United States, the United Kingdom, and nine European countries to make awards for acts of heroism. In contributing to the construction of the Peace Palace at The Hague, the Pan American Union Building in Washington, and the Central American Court of Justice in Costa Rica, he further expressed his belief in arbitration and conciliation as substitutes for war.

In 1911, having worked steadily at his task of giving away one of the world's great fortunes, Mr. Carnegie created Carnegie Corporation of New York, a separate foundation as large as all his other trusts combined.

Each of the Carnegie agencies has its own funds and trustees and each is independently managed.

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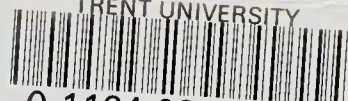
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